

**MISSOURI DEPARTMENT OF TRANSPORTATION  
(MoDOT)  
TRANSIT SECTION**

**MISSOURI'S MODEL TRANSIT BUS SAFETY  
AND SECURITY PROGRAM**

**July 2006**

**First Edition, July 2006**

Transit Section

Missouri Department of Transportation

The information contained in this document, while developed by the Missouri Safety Center, is the property of the Missouri Department of Transportation (MoDOT). In addition to the extensive research and field experience conducted by the Missouri Safety Center, the material has been supplemented with information from publications, interviews and observations of individuals and organizations familiar with the use of transit bus safety and security. Because there are many differences in product design, operating styles, and federal, state and local laws, there may be organizations and individuals who hold differing opinions. Consult your local regulatory agency or the Transit Section of MoDOT concerning the operation of transit buses in your area.

Established in 1967, as the State's safety center, the Missouri Safety Center strives to prevent injury and death through technology transfer, instruction, research, publications and public service. The Center is an organization dedicated to injury prevention. It draws together a variety of resources in a common effort that serves state and local agencies, business, industry, safety professionals and the public at large. It utilizes a staff of specialist, consultants and the services of Central Missouri State University personnel to provide leadership and a unified program of injury prevention.



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August 1, 2006

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Missouri Public Transit Providers:

Everyone wants a safe and secure transit operation. Your transit customers expect it, your employees strive for it and your governing boards demand it. To make the transit experience as safe as possible, transit agencies need to have a plan for their systems' safety and security. The Federal Transit Administration (FTA) in conjunction with three national transportation organizations (CTAA, APTA and AASHTO) have signed a memorandum of understanding, see attachment, that details the core components of a transit safety and security program:

**Missouri Model Transit Bus Safety and Security Program**

Core Components

- Driver – Employee Selection
- Driver – Employee Training
- Vehicle Maintenance
- Drug and Alcohol Abuse Program
- Safety Data Acquisition and Analysis
- Security

The Missouri Safety Center on the campus of Central Missouri State University has worked with MoDOT's Transit Section in the development of the Missouri Model Transit Bus Safety and Security Program. This model program document and accompanying electronic files provide your transit agency with the tools necessary to develop your own safety and security program.

To help implement the core safety and security components at your agency, MoDOT's Transit Section, through the Rural Transit Assistance Program (RTAP), will provide technical assistance. Please contact John Rice (573) 751-7480, [John.Rice@modot.mo.gov](mailto:John.Rice@modot.mo.gov) or Steve Billings (573) 751-2523, [Steven.Billings@modot.mo.gov](mailto:Steven.Billings@modot.mo.gov) for help with program implementation.

Sincerely,

Steven A. Billings  
Administrator of Transit  
Multimodal Operations

*Our mission is to provide a world-class transportation experience that delights our customers and promotes a prosperous Missouri*

# Memorandum of Understanding

Between the

**Federal Transit Administration  
American Association of State Highway and Transportation Officials  
American Public Transportation Association  
Community Transportation Association of America**

In Regard to the

**FTA Model Transit Bus Safety and Security Program**

## Introduction

The Federal Transit Administration (FTA) has developed a Model Transit Bus Safety and Security Program in cooperation with the American Public Transportation Association (APTA), the Community Transportation Association of America (CTAA), the American Association of State Highway and Transportation Officials (AASHTO), and other representatives from the transit bus industry. This effort has culminated in a draft Program<sup>1</sup> that has been accepted in principle by the FTA and its industry partners.

This Memorandum of Understanding is an agreement in principle to:

- **Promote the Model Transit Bus Safety and Security Program**
- **Provide support to further the Program**
- **Assess the activities of the signing parties' constituents in implementing the Program.**

The four partner organizations' representatives signify the acceptance of the Model Program and demonstrate the commitment of their organizations to its objectives by their signatures to this Memorandum of Understanding.

## Model Transit Bus Safety and Security Program Elements

The Model Program contains two general categories of Program elements: **Core Safety Program Elements** and **Enhanced Safety Program Elements**. Collectively, these elements define the comprehensive FTA Model Transit Bus Safety and Security Program.

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<sup>1</sup> The Model Program will be published as an FTA report in response to National Transportation Safety Board recommendations (PB98-917006, NTSB/SIR-98/03).

**Core Safety Program Elements** are the safety program elements that all transit providers should implement. Core elements apply to all Section 5307 and 5311 transit providers. As the size and resources of the transit provider increase or as operational experience indicates additional needs, the transit provider should implement applicable Enhanced Safety Program Elements. In cases where service is contracted with 5307 or 5311 funds, the grantee shall ensure that the contractor would implement the core and enhanced safety program elements as applicable. Section 5310 provider participation in a safety and security program is subject to state discretion however Section 5310 provider participation is encouraged.

The degree of applicability is largely dependent on operations. The scope of applicability will be defined in the individual technical assistance materials.

***The Core Safety Program Elements include:***

- Security
- Driver/Employee Selection
- Driver/Employee Training
- Vehicle Maintenance
- Drug and Alcohol Abuse Programs
- Safety Data Acquisition and Analysis.

**Enhanced Safety Program Elements** improve the transit provider's safety program beyond the Core Safety Program Elements. Transit providers in urban areas typically include these elements. Other transit providers should expand their safety program as their services, resources, and infrastructures grow to include Enhanced Safety Program Elements as a part of a continuous improvement approach to transit bus safety and security. The Enhanced Safety Program Elements are grouped into three general categories:

- **Safety Process-Centric Elements** – These elements focus on understanding the safety issues within the transit bus operations (accidents, incidents, and hazards) so that resources can be properly directed.
- **Human-Centric Elements** – These elements focus on processes or procedures that are directed toward driver and employee safety issues.
- **Infrastructure and Equipment-Centric Elements** – These elements address safety issues related to the transit system vehicles and general infrastructure.

Attachment A to this Memorandum contains additional definitions of the Core Safety Program Elements and additional information about the Enhanced Safety Program Element categories.

**Implementation Approach**

The Partners agree that the voluntary approach to implementation will be used to assess transit provider implementation of the Model Program requirements. The voluntary approach to implementation requires good faith efforts on the part of grantees and the national partner organizations with an expectation that the absence of a more formal regulatory structure will not be detrimental to overall Model Program objectives.

Under the voluntary approach, implementation is expected on a voluntary basis – a regulatory or contractual directive for implementation of the Model Program for transit system grantees (and sub-recipients) is not proposed by FTA. However, if the FTA determines that this approach to implementation is not satisfactory for ensuring implementation, the FTA reserves the right to revisit the



issue of the Implementation Approach. States, however, do have the right to adopt more prescriptive requirements.

Examples of acceptable approaches include those developed by the partners, individual DOTs, insurance pools, and other industry groups.

Some of these programs include the following:

- APTA's Bus Safety Management Program
- CTAA's Community Transportation Training and Safety Review Program
- Bus Safety programs developed by state transportation departments
- Safety programs of insurance pools
- Fleet safety program of the National Safety Council
- Safety program guidelines of transit management training programs
- Local transit operating agency safety programs and procedures

FTA and its Partners recognize that under the voluntary approach there is no single safety model within the industry which must be adopted by transit systems or states overseeing such systems. The key agreement in this understanding is that the appropriate safety elements for the type of transit system be developed and implemented. In other words, any model which embraces the appropriate core elements will comply with the intent of the FTA approach. Examples of acceptable approaches could include those developed by the Partners, individual DOTs, insurance pools and other industry groups.

In regards to bus safety and security programs, FTA Triennial Reviews and State Management Reviews will identify areas of concern relative to the voluntary compliance practices and specify recommended improvements rather than audit compliance on a "comply/not comply" basis.

#### **Role of the FTA and the States in Assessing Transit Provider**

The FTA will assess implementation with the Model Transit Bus Safety and Security Program by its direct grantees through the Triennial Review Program or another similar approach.

The States will assess the implementation of the Model Transit Bus Safety and Security Program by their Section 5311 sub-recipients in a manner similar to that which the States use for assessing sub-recipient compliance with other FTA requirements. Section 5310 grantees would be exempt from the Model Program requirements, but encouraged to implement the Core Safety Program Elements.

FTA and the States will conduct these assessments in a cooperative and positive manner with the grantees, promoting a proactive environment to assist transit systems in meeting the Model Program requirements.

#### **FTA Technical Assistance and Outreach**

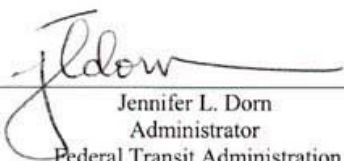
The FTA, in cooperation with the Partners, will develop and disseminate appropriate technical assistance and outreach materials to be used by the FTA staff, the Partners, and the transit system grantees in implementing the Model Program. FTA efforts will include training through the Transportation Safety Institute (TSI), the National Transit Institute (NTI) and other activities, to the extent possible. Attachment B contains additional descriptions of anticipated FTA technical assistance and outreach.


#### Responsibility of All Parties in Promoting the Program

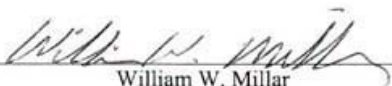
The Partners to the Model Program will actively **promote** the Program and its objectives; will provide **support** to further the Program; and will **assess** the activities and performance of their constituents in implementing the Model Program. These efforts will incorporate all reasonable actions necessary to ensure good faith efforts by transit providers in developing and maintaining their own Transit Bus Safety and Security Programs.


#### Commitment to Program Improvement Efforts

The Partners will review the Model Program on a regular basis and revise it, as appropriate, to meet the objectives of furthering transit bus safety and security. The Partners agree to meet on a regular basis to discuss positive aspects of the Program, along with areas needing improvement. The Partners also agree to implement those changes to the Program, as appropriate, to continue to enhance transit bus safety and security.

  
Jennifer L. Dorn  
Administrator  
Federal Transit Administration

  
John Hersley  
Executive Director  
American Association of State Highway  
and Transportation Officials

  
William W. Millar  
President  
American Public Transportation Association  
of America

  
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Community Transportation Association  
of America

Date: December 15, 2003



## Attachment A

### Safety and Security Program Elements FTA Model Transit Bus Safety and Security Program

The comprehensive requirements for the FTA Model Transit Bus Safety and Security Program consist of two parts; (1) the core safety program elements and (2) enhanced safety program elements.

The concept of a core safety program element is simply a safety activity that every transit bus provider should be doing as part of a minimum safety and security program. Core safety program elements should receive adequate resources to support these core activities. While all activities are subject to resource limitations, these core safety and security activities should be a high priority in resource allocation.

All transit providers should implement the core safety program elements as the minimum acceptable approach to transit bus safety. The remaining "enhanced" elements of the comprehensive safety and security program should be incorporated into safety efforts as needs are identified and resources are available.

The concept of an enhanced safety program element is used to describe safety and security activities that go beyond the scope of the core requirements. Enhanced program elements are those safety and security activities that will enhance safety and security program effectiveness for the larger and more complex transit bus providers. The transit provider's safety and security program should grow with the transit provider's services, resources, and infrastructure to continuously and proactively manage safety throughout their operations.

Large transit bus providers, with adequate resources, typically have a need for all or most of these enhanced elements in their safety and security programs. Smaller transit bus providers should incorporate these enhanced elements as their size and/or responsibilities grow or as the need is indicated by operational safety and security experience to further improve their safety program.

The following table lists the program elements for the comprehensive FTA Model Transit Bus Safety and Security Program. Core program elements are identified in the table and are further defined in the paragraphs following the table. Enhanced elements are further described in the FTA report defining the Model Program. This attachment describes the current delineation of core and enhanced program elements. However, FTA may, from time to time, redesignate the core and enhanced program elements as indicated by industry needs.

**Safety and Security Program Elements**  
**FTA Model Transit Bus Safety and Security Program**

<p><b>Security*</b></p> <p><b>Safety Process-Centric Elements</b></p> <ul style="list-style-type: none"> <li>• Safety Data Acquisition/Analysis*</li> <li>• Accident/Incident Reporting &amp; Investigation</li> <li>• Hazard Identification/Resolution Process</li> <li>• Emergency Response Planning, Coordination and Training</li> <li>• Internal Safety Audit Process</li> </ul> <p><b>Human-Centric Elements</b></p> <ul style="list-style-type: none"> <li>• Driver/Employee Selection*</li> <li>• Driver/Employee Training*</li> <li>• Drug &amp; Alcohol Abuse Programs*</li> <li>• Employee Safety Program</li> <li>• Fitness for Duty (additional requirements beyond the drug and alcohol FFD requirements)</li> </ul>	<ul style="list-style-type: none"> <li>• Rules/Procedures Review</li> <li>• Contractor Safety Coordination</li> </ul> <p><b>Infrastructure &amp; Equipment-Centric Elements</b></p> <ul style="list-style-type: none"> <li>• Vehicle Acquisition</li> <li>• Vehicle Maintenance*</li> <li>• Facilities Inspections</li> <li>• Maintenance Audits/Inspections</li> <li>• Hazardous Materials Program</li> <li>• Alternative Fuels and Safety</li> <li>• System Modification Review/Approval Process</li> <li>• Interdepartmental/Interagency Coordination</li> <li>• Configuration Management</li> <li>• Procurement</li> <li>• Operating Environment and Passenger Facility Management</li> <li>• Dedicated Busway or Roadway Inspection and Maintenance</li> </ul> <p>* Core Safety Program Element</p>
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**Core Safety and Security Program Element Descriptions**

**Security:** The security of passengers and employees is paramount to promoting the objectives of the FTA and its partner organizations in developing a Model Program. Transit providers must take all reasonable and prudent actions to minimize the risk associated with intentional acts against passengers, employees and equipment/facilities. To further this objective, transit providers will need to develop security plans and procedures and emergency response plans and procedures. The plans must include coordination with local law enforcement and with other regional transit providers, the conduct of exercises for their emergency plans, and assessment of critical assets and measures to protect these assets.

**Driver/Employee Selection:** Driver selection is critical to safe transit operations. The driver of a transit vehicle is directly responsible for the safety of their passengers and other motorists that share the road with transit buses. The transit provider should have a clear definition of driver qualifications and background. This applies to all safety-critical employees, both paid and volunteer.

**Driver/Employee Training:** Once qualified candidates are identified and hired, initial and on-going training is critical to insure proper operations and adherence to the transit providers' rules and regulations. Proper qualification of operating and maintenance personnel is a vital part of a safe transit environment. Driver training should address specific safety-related issues appropriate to the type of vehicle and driving assignment including fitness for duty.

**Vehicle Maintenance:** Proper maintenance of vehicles and equipment is critical to the continued safe operation of the transit system. Unsafe vehicles present unnecessary hazards to the driver, passengers, and other vehicles on the road. Basic vehicle maintenance practices must regularly address safety-related vehicle equipment to ensure that no unsafe vehicles are dispatched for service.

**Drug and Alcohol Abuse Programs:** Since many transit providers receive FTA operating and capital funds, the FTA Drug Testing Requirements form the basis for drug abuse programs. An alcohol abuse program is also required. The bottom line is protection of the riding public and transit employees, and all efforts should be geared toward this end. The transit provider's safety program should outline the specific policies, procedures and responsibilities, or reference the appropriate master document containing that information.

**Safety Data Acquisition/Analysis:** Understanding safety data is an important step toward allocating important (and often scarce) resources to implement safety program elements. Safety data relative to transit provider operations can be used to determine safety trends in system operation. These data include information gathered from within the system on safety-related events such as passenger injuries or claims, employee injuries, accidents, incidents, and preventability. Driver reports (sometimes called logs) can be an important source of safety problems, such as dangerous stop locations, problems with bus equipment, safety problems with the route, and other issues. The data are useful in a formal hazard identification and resolution process to help identify hazards before they cause accidents. The data may also help improve system performance, not only in respect to safety, but also in overall delivery of service to the riding public. In addition, trend analyses of safety data can help determine the effectiveness of safety initiatives that have been implemented.



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## **Attachment B**

### **FTA Technical Assistance and Outreach Activities FTA Model Transit Bus Safety and Security Program**

The FTA in concert with its Partners is committed to develop and disseminate appropriate technical assistance and outreach materials to be used by its staff, its Partners (AASHTO, APTA, and the CTAA), and the transit system grantees in implementing the Model Program. These technical assistance activities will include training through TSI, NTI and other Partner and industry sources, as resources permit. The following list provides examples of technical assistance activities and products that, to the extent possible, FTA will provide as part of their continuing promotion and support of the Model Program.

- Technical guidance on criteria to be used for determining appropriateness of "Enhanced" Safety Program Elements
- Manuals for the development of model Transit Bus Safety and Security Programs
- Manuals for assisting the states in conducting assessments of sub-recipients
- Training programs for transit providers and states
- Training classes for transit providers and state representatives
- Manuals for developing System Safety Program Plans and Security Program Plans
- Identification and dissemination of transit bus safety "best practices"
- Presentations/facilitation of discussions at conferences and workshops
- Informational brochures and program summaries
- Program awareness/marketing products
- Guidelines for data collection/analysis that address both rural and suburban systems.
- Identification of funding resources that may be used by states to perform voluntary assessments of subrecipients' implementation of the model program.
- Identification of information resources, such as websites developed by its Partners, on the elements of the model program and how those elements may be applied.

# **Missouri's Model Transit Bus Safety and Security Program**

## **DRIVER – EMPLOYEE SELECTION**

### **SECTION ONE**

**MISSOURI DEPARTMENT OF TRANSPORTATION  
(MoDOT)  
TRANSIT SECTION**



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## **SECTION ONE:**

Developing a selection procedure that provides qualified and professional employees is an important element in any safe and successful transit service operation. The selection procedure's primary objective should be to match a qualified applicant to the organization's need for a particular employee. What follows is a general outline of the steps required to accomplish this task; however, it is advisable to always seek and follow the guidance of an organization's Human Resource office when one exists. In the absence of a Human Resource office it is highly recommended that any hiring official seek the guidance of a professional hiring agency, as well as the U.S. Equal Employment Opportunity Commission (<http://www.eeoc.gov/>).

### **JOB ANALYSIS:**

The first step in the selection procedure is the preparation of a job analysis. Simply put, a job analysis is the process of determining by observation, study and experience, the tasks that are involved in performing a specific job. This process of analysis includes five basic components:

1. A complete description and identification of the job, including function and purpose; what does the employee do?
2. The specific tasks of the job; how is the job done?
3. Professional standards and guidelines of work performance; why is this done?
4. Special qualifications, knowledge and skills necessary to perform the duties; what knowledge and skills are involved?
5. Physical demands; what are the physical demands required to perform the duties of the job?

In a typical job analysis study, these questions may be answered by observing the job being performed and questioning those performing or supervising the work. A series of observations and interviews can create excellent sources of information that allow for the creation of a true and accurate picture of what is actually required to successfully perform the job.

### **JOB STANDARDS:**

Job standards list the specific tasks and duties of the job as determined by the job analysis. This includes describing as completely as possible the job requirements for skills, knowledge and attitudes. The job standards become the measure for every applicant and make qualifying a potential employee reasonable, fair and compliant with the Equal Employment Opportunity Commission (EEOC) requirements. It is important to establish standards that are job related and against which applicants can be measured consistently and fairly. Also, the job description should detail the essential elements of the job, particularly any physical demands, in order to meet the non-discrimination responsibilities outlined within the Americans with Disabilities Act (ADA).

## ESTABLISHING A JOB DESCRIPTION:

A proper job description is perfectly acceptable as a pre-employment tool in the selection procedure. It should also be used after the person is hired as part of the performance review procedure. The format of the written job description should be concise and should cover, at a minimum; the following (see Appendix E for examples):

1. **Job Title/Classification:** The title should be as precise and descriptive as possible. For example, rather than bus driver, titles such as bus driver-local or bus driver-rural are preferred.
2. **Job Summary:** A brief and concise summary statement designed to describe the overall function and purpose of the job. For example, a typical local driver job summary could be: Drives bus 101 to pick up, transport and drop off passengers over specified routes or between identified locations.
3. **Typical Duties:** Should include the major specific responsibilities assigned to this position. For a typical bus driver, this could include:
  - ☐ Drive vehicle safely under different traffic and weather conditions.
  - ☐ Interact with passengers in a courteous, professional and helpful manner.
  - ☐ Assist passengers in and out of vehicle, operate wheelchair lift and properly secure wheelchairs in vehicle.
  - ☐ Conduct pre and post trip vehicle inspections that require the ability to balance oneself, climb and strongly grip objects.
  - ☐ Push doors, windows, emergency hatches and other objects.
  - ☐ Complete a driver's trip log and other record keeping.
4. **Relationship:** This should clearly define to whom the employee reports in the chain of command. For example, for the bus driver the authority might be written: reports to the shift supervisor.
5. **Responsibilities:** This section should list the employee's job responsibilities that should closely parallel the "duties" section of the job standard.

## RECRUITING:

Recruiting is the next step in the selection process. Often times, due to turn-over, organizations must recruit on a continuous basis, encouraging likely prospects to apply first to their company. Recruiting may ultimately become a selling process and no single recruiting technique is effective at all times and under all circumstances.

There are two basic types of recruiting:

Internal – seeking job applicants from within the organization, and

External – seeking applicants from outside the organization's current labor force.

The advantages of internal recruiting make it the choice in most organizations where internal recruiting is possible. Internal applicants are already familiar with the general organization of the company and the company is already familiar with the individual being considered. It also provides the opportunity for employee advancement and may have a positive effect on morale, productivity and turnover. Many successful transportation companies routinely advance employees from manual labor into driving and, as conditions permit, into supervisory and management positions. Internal recruiting may be limited by the positions available and the personnel employed by the company.

There are many methods of external recruiting, each with particular advantages to the selection process. The most common sources of outside applicants include employee referrals, walk-in applicants, want-ad responses, trade or driving school graduates, state or private employment agencies and union hiring halls. Company policy should allow those responsible for recruiting to take advantage of as many sources as possible. For example, utilize a “referral bonus” for current employees responsible for referrals who are subsequently hired. Another option is to place “Now Hiring” signs on vehicles. It should be noted that external recruiting is a time consuming process that can be effectively controlled by utilizing the company’s human resource office if one exists.

### **JOB APPLICATION FORMS:**

The application form is an essential component of the selection process and is the primary source of information about the applicant (see Appendix B, C & D for examples). It can be used to qualify applicants as well as screen out obviously unqualified applicants. There are several job application guidelines to consider:

- ☐ Forms should only include questions relevant to the performance of the particular job, or that are required by law.
- ☐ Forms should be available for completion at the place of business or on-line when possible.
- ☐ The proper use of the application form should be advantageous to both the employer and the prospective employee. Prospective employees have the right to expect fair and legal consideration. The company, in turn, is legally obligated to see that every applicant is considered in the same manner and within the scope and intent of the law.

There are basically three types of application forms used during the application process:

- ☐ A structured form that has a design including lines, spaces and boxes that require the applicant to answer with “yes,” “no,” or check marks, or fill in limited data in response to an inquiry.
- ☐ A weighted form has response items assigned numerical weights according to their respective predictive values. This type of application is in minimum use today as the statistical basis of the processing must be verified.

- ❑ An unstructured or narrative form is designed to encourage the applicant to be completely free with question responses. The proponents of unstructured forms feel that more information is provided for use in selection than the other formats are available to provide.

Information provided by the applicant form should be compared with the job description standards. This preliminary screening process evaluates the applicant's status as related to the minimum job qualifications. Take care to adhere to the EEOC and ADA requirements and guidelines. Comparisons should be made to all the established qualifications; experience levels, physical requirements, educational requirements and, when required, an individual background and safety record check. All applications submitted should be considered or reviewed on an equal basis by an individual or committee familiar with the job requirements.

### **INTERVIEWING:**

The employment interview can provide information to the prospective applicant's abilities and background. If the applicant has satisfied all the other qualifications and has met the minimum standards set forth by the organization's selection procedures, an objective evaluation through the interview process is necessary to properly make the decision to hire or reject the applicant. Interviewing, in the broadest sense, is the process by which the applicant and interviewer, or interview team, exchange information through a series of specific questions. It should be understood that the interview process is a part of the over-all selection process, not a replacement for the many steps of the process. To be most effective, the interview process should follow these guidelines:

Preparation – there are three aspects to the preparation process to be considered:

1. Physical preparation – includes the location of the interviews and the personal appearance of the interviewer(s). Depending on the individual circumstances, the interview location should be comfortable, quiet and private. Whenever possible, the interview should not be interrupted. Some feel that interviews away from the office or job site are more effective. If the proper type of atmosphere for an interview cannot be established on-site, then an off-site location should be considered. Proper appearance is important and the interviewer(s) should take care to ensure that they reflect the organization's image to the applicant.
2. Social preparation – A necessary part of the interview is the need to establish a climate in which the applicant feels comfortable to respond to questions. At the beginning of the interview an attempt should be made to put the applicant at ease. The stress an applicant feels may be reduced or alleviated by an understanding, sympathetic and receptive approach by the interviewer(s). Some friendly "small talk" can often break the ice and get the interview going smoothly and will benefit both parties.



3. Technical preparation – It is necessary for the interviewer(s) to know what questions to ask and how to consistently ask them to get a full information exchange. This begins with knowing the applicant's qualifications before beginning the interview. All available information should be screened carefully for general qualifications, background checks, references and the application form. The success of the interview depends greatly on the ability of the interviewer(s), the questions being asked and the depth of the answers by the interviewee. It is recommended to use a written outline to help keep the interview on track and insure that all interviews are conducted the same way.

Careful consideration should be given to the development of each specific question to be used during an interview. Title VII of the Civil Rights Act, administered and enforced by the EEOC, prohibits discrimination of employment on the basis of age, disability, pregnancy, race, color, religion, sex or national origin. Interview questions should be designed with formal, objective guidelines for evaluating an applicant's qualifications, motivation, ambition, interest in the trade, willingness to accept directions and the individual's attitude toward job-related instruction. The "Three Rules of Thumb" when designing and asking interview questions are:

1. Ask only for information that you intend to use to make hiring decisions. If you don't need the answer, do not ask the question.
2. Know how you will use the information to make that decision.
3. Recognize that it is difficult to defend the practice of seeking information that you do not need or use.

For ADA compliance, applicants should be specifically asked if they require any reasonable accommodations to perform the job they are applying for and their answers should be noted and documented.

#### **DRIVER SELECTION CRITERIA AND QUALIFICATIONS:**

Driver selection is critical to safe transit operation. The driver of a transit vehicle is directly responsible for the safety of the passengers and other motorists that share the road with transit buses. The transit provider should have a clear definition of driver qualifications and background. This applies to all safety-sensitive employees, both paid and volunteer. As defined by the Federal Transit Administration (FTA), "safety sensitive" functions include the following:

- ☐ Operating a revenue service vehicle including when not in revenue service,
- ☐ Operating a non-revenue service vehicle that requires operators to hold a commercial drivers license (CDL),
- ☐ Controlling dispatch or movement of a revenue service vehicle,
- ☐ Maintaining revenue service vehicles or equipment used in revenue service including repairs, component overhaul and rebuilding, and
- ☐ Providing security and carrying a firearm on transit vehicles, at transfer points, and at transit facilities open to the public.

Volunteers are exempt from the FTA drug and alcohol testing requirements unless they are required to operate a vehicle that requires a commercial driver's license. The FTA defines volunteers as non-employees who perform a service as a charitable act without the expectation of receiving benefit.

The following list highlights some of the elements that may be included in the job description and requirements for transit vehicle operators:

Applications – Each potential employee should complete a written application.

Interviews – each potential employee should be interviewed by the organization's hiring official and/or a designated committee.

Physical Requirements – no person should drive, require or permit any person to drive any vehicle in the service of transporting clients or on agency business unless the operator possesses the following minimum physical qualifications (as outlined in the Federal Motor Carrier Safety Regulations [FMCSR] 49-CFR 391.41):

- ❑ **Mental and Physical Conditions** – operators should be in sound physical and mental condition. Operators should not have any physical or mental defects or limitations likely to interfere with safe driving, passenger assistance or emergency activities based on the opinion of the party or organization responsible for hiring or supervising operators and the physician performing the operator's physical examination. The operator must be physically capable of assisting persons with disabilities including mobility aid users if the job duties require it.
- ❑ **Eyesight** – operators should have vision in both eyes, normal depth perception, normal peripheral vision and be free of any disease or condition that could impair vision. Operators should have distant visual acuity of at least 20/40 in each eye without corrective lenses or visual acuity separately corrected to 20/40 or better with corrective lenses, distant binocular acuity of at least 20/40 in both eyes with or without corrective lenses, field of vision of at least 70 degrees in the horizontal in each eye, and be able to distinguish between standard green, red and amber.
- ❑ **Hearing** – operators should have adequate hearing to insure safe response to vehicle horns, emergency vehicle sirens and train signals.
- ❑ **Alcohol and Drugs** – operators should not consume alcohol or use narcotics or habit-forming drugs. Drug pre-employment screening must be conducted in accordance with state and federal regulations (see 49-CFR 655.41). An optional pre-employment alcohol test may be conducted if included in the employer's substance abuse policy (see 49-CFR 655.42).
- ❑ **Doctor's Physical Examination** – the organization should have and keep on file a certificate of Physical Examination given within twelve (12) months prior to employment, signed by a qualified, licensed physician for every operator in the organization's employment, attesting that the physician has examined

said operator and found him/her to satisfactorily meet the qualifications set forth in applicable state and federal regulations (see 49-CFR 391.43).

- ❑ **Age** – operators should be at least twenty-one (21) years of age.

Driving Ability and Driving Record – no person should drive, require or permit any person to drive any vehicle in the service of transporting clients or on agency business unless the operator possesses the following minimum qualifications:

- ❑ **Licensing** – Operators transporting people should have a valid Missouri Class E chauffeur's license or commercial driver's license and applicable endorsements as appropriate for the type of vehicle they will operate. An original report issued, by the state's motor vehicle authority, within the past ten (10) days should be produced before the potential employee is considered for hire. Additional criteria should include:
  1. A good driving record with no DUI or DWI convictions or similar charges, or any violations indicating careless or imprudent driving habits. Not more than 4.0 points on the current driving record.
  2. No more than a total of two moving violations or accidents within the last three years.
  3. No suspended or revoked licenses within the last 10 years for moving violations or violations of criminal laws.
  4. Any combination of violations, unfavorable road observations or accidents that may indicate a pattern of unsafe vehicle operating behavior, whether on or off the job.
  5. Minimum of five years driving experience.
- ❑ **Operating Skills** – Operators should have experience in safely operating some type of motor vehicle (including a private motor vehicle) for not less than five (5) years, including experience throughout all four weather seasons. In addition, at least one (1) year of experience in a vehicle representative of the type to be driven is recommended but not mandatory.
- ❑ **Criminal Background Checks** – An original criminal background check, issued within the past ten (10) days, should be obtained as part of the application process. Persons with felony convictions of any sort should be deemed unacceptable. Other unacceptable convictions should include crimes of violence, drug use or sales, physical abuse, fraud or theft (also see Disqualifying Offenses Defined, 49-CFR, 383.51 and 383.53).
- ❑ **Previous Employment Checks** – An employment history must be submitted to the prospective employer by the applicant for the ten (10) years preceding the date of the application (also see Notification of Previous Employment, 49-CFR, 383.35).

General Skills and Customer Interaction – no person should drive, require or permit any person to drive any vehicle in the service of transporting clients or on agency business unless the operator possesses the following minimum qualifications (also see 49-CFR 391.11):

- ❑ **Knowledge of English** – Operators should be able to fluently read, write and speak the English language.
- ❑ **Ability to Perform Simple Math** – should be required.
- ❑ **Reasonable Knowledge of the Service Area and Ability to Read Basic Maps** – should be required.
- ❑ **Road Test** – a road test given by a designated Agency Supervisor should be required [see 49-CFR 391.11(b)(8)].
- ❑ **Written Test** – a written driving knowledge test should be required.

### PERFORMANCE GOALS:

The primary function of any supervisor in any transit organization is to see that the “job” is done. Simply put, this means that a certain task or basic objective is to be actually accomplished. The most outstanding difference in the requirements of getting the job done for supervisors and for workers is the difference in the tools used. A mechanic has a set of basic tools, a driver has a vehicle and the supervisor has the employees.

In any supervisory situation, it is essential that a system of readily recognized, well planned goals are established. What does the transit organization and its employees expect to accomplish? How will this be done? What are the limiting factors? What is the time-line for accomplishment? Who is responsible for the accomplishment of the various objectives? Basic guidelines for establishing objectives should include:

1. The work unit involved
  - a. Specific transportation tasks
  - b. Individuals to be assigned
  - c. Location(s) of movements
  - d. Supervisor(s) responsibilities
2. End result quantified
  - a. Productivity goals per person or vehicle
  - b. Transport cost in dollars
  - c. Safety standards measured
3. Time Line
  - a. Minimum time necessary to safely accomplish objectives
  - b. Time limitations imposed
4. Planning
  - a. Inclusion of participants in the goal setting
  - b. Communication of progress
  - c. Reward or benefit to be derived

When guidelines have been set, the supervisor is responsible for guiding the employees toward achievement of the goals that have been set. In order to do this, measurement of the progress and manner in which the work is performed is required.

## **MEASURING PERFORMANCE:**

The measurement of performance can be equally applied to a driver, a vehicle, a system or any given part of a supervisory program. It is essential that the success or failure of an activity be determined to know if the activity should be continued, modified, expanded or discarded. While statistics are sometimes misunderstood by supervisors, it is obvious that a measurement system must rely on numbers, in part, to assemble a set of facts.

The tools to measure driver performance require providing specific job guidelines, with evaluation criteria, incentives and disciplinary procedures written clearly so they may be understood by all and applied evenly to all employees. Examples of standards against which to measure a driver may include:

- ☐ Hours of service
- ☐ Miles driven
- ☐ Driver qualifications
- ☐ Accident/incident rates
- ☐ Miles per gallon
- ☐ Costs of breakdowns/repairs
- ☐ Cargo/passenger handling
- ☐ Customer relations/complaints

Remember, the standards must be clear, reasonable, communicated, recurring, thorough and agreed to by both the supervisor and employee.

## **INCENTIVE PROGRAMS:**

Many incentive programs have been developed to foster and reward safe, courteous driving habits. Most of these programs are, in reality, cost control programs that build driver pride in the profession of driving a transit bus and provide personal recognition for outstanding performance. Examples of rewards include:

- ☐ Safe Driving Pins
- ☐ Merchandise Awards
- ☐ Watches and Jewelry
- ☐ Driver Uniform Awards
- ☐ Broad Range Merchandise Awards



## APPENDIX – DRIVER – EMPLOYEE SELECTION

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## APPENDIX A – Winnipeg Transit Department, Bus Operator Selection System

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### WINNIPEG TRANSIT DEPARTMENT

421 Osborne Street • 421, rue Osborne • Winnipeg • Manitoba R3L 2A2  
tel/tél. (204) 986-5747 • fax/télec. (204) 453-7385 • [www.winnipegtransit.com](http://www.winnipegtransit.com)

### BUS OPERATOR SELECTION SYSTEM

The Bus Operator selection system utilized by the City of Winnipeg consists of 5 steps. Each step is designed to measure the candidate's skill or potential in a distinct area. Applicants must demonstrate they have the required skill or potential in each area by achieving the standard set for each step in the process. Applicants who do not meet the standard on any one step will not progress on to the next step. An applicant may re-apply immediately to continue in the process. A second attempt at the step will be allowed at that time. A second failure at any step will disqualify an applicant for a period of 3 years from the date of their second failure, at which point they can re-apply and commence at the Public Relations Step. Selection of Operators is based on potential demonstrated during the process. Only those applicants who have demonstrated the **GREATEST** potential will be offered positions. Due to constraints on the number of vacancies at Winnipeg Transit successful completion of all steps **WILL NOT** guarantee employment.

### EXPLANATION OF STEPS

#### **STEP (1)**

##### **INITIAL APPLICATION**

Completed applications must be submitted in person to Winnipeg Transit at 421 Osborne St. Applicants must supply a photocopy of both parts of their valid driver's license. Applicants may not have any demerits on their license. Applicants meeting minimum requirements are booked into the next available Public Relations Test.

##### **PUBLIC RELATIONS TEST**

Fifty scenes of Bus Operators interacting with the public are shown to the candidate on video. The candidate must choose the best method to deal with the public from four alternatives. Maximum credit is given if the candidate chooses the best answer. Some credit will be given for answers which are correct, but not the best. Candidates must demonstrate "above average" ability to deal with the public to proceed in the selection process. There are 200 possible points on this test. A score of 140 or greater indicates above average ability. Only those individuals who score 140 or greater will proceed in the process. Those individuals who score 139 or under will not proceed in the process.

#### **STEP (2)**

##### **DISTRIBUTION OF STUDY GUIDE**

Qualified applicants will be issued a study guide to prepare for the upcoming written test. A deposit of \$20 cash for the study guide will be charged and refunded when the guide is returned in its original condition. Applicants are given 2 weeks to study the material.

##### **WRITTEN TEST**

Content of the written test is broken down into four areas:

- a) Knowledge of the City of Winnipeg
- b) Knowledge of the Manitoba Driver's Handbook
- c) Ability to work with money and a 24 hour clock

d) Ability to learn policy and procedure

There are 75 multiple choice questions on the exam. There is a 1½-hour time limit to write the test. Applicants must demonstrate above average knowledge of the subject areas, and must score 49 or more on the exam in order to progress to the next step.

### **STEP (3)**

#### **DRIVING APTITUDE TEST**

Applicants will be required to supply, at their own expense, a Driver's Abstract and, if required, a Demerit Standing from the Motor Vehicle Branch, 1075 Portage Ave. If an applicant has "0" merits, a Demerit Standing must also be obtained in order to proceed further. Applicants may not have any demerits on their license. Applicants must produce a valid driver's license. Candidates will be given instruction on how to operate a Transit vehicle. The candidate's potential to be trained to operate the vehicle is then assessed as the candidate maneuvers the vehicle over a pre-determined course. The candidate must demonstrate the potential to be trained and score a maximum of 200 penalty points in order to progress to the next step. A short interview will also be conducted to examine the candidate's driving record.

### **STEP (4)**

#### **COMPETENCY BASED INTERVIEW**

During the interview you will be asked a series of questions designed to assess your aptitude for the position. This will include behavioral style questions in which you will be asked to provide a detailed account of a past experience that required the use of a specific competency. These questions will be based on the following competencies that have been identified as essential for bus operators to possess; Citizen & Customer Focus; Respecting Diversity; Ethics and Values; Integrity and Trust; Results Oriented; Composure; Patience; Approachability; Compassion; Informing; Humor; Listening; Time Management; Conflict Management; Work/Life Balance.

#### **CRIMINAL RECORDS INVESTIGATION**

Applicants will be required to supply, at their own expense, and successfully complete, a criminal record investigation, through the Winnipeg Police Service.

#### **REFERENCE CHECKS**

Contact will be made with the applicant's present and past employers to verify information obtained in previous steps.

#### **MEDICAL EXAMINATION**

Applicants will be required to successfully complete a medical examination by an Occupational Health Physician. This will include a test for illegal drug and alcohol use.

### **STEP (5)**

#### **OPERATOR SELECTION**

Selection of Operators is based on demonstrated potential. Results of Steps 1 through 4 will be reviewed. Those candidates who demonstrate the greatest potential will be offered a position as a Bus Operator. Successful completion of all steps **WILL NOT** guarantee employment.



## APPLICATION FOR EMPLOYMENT

PLEASE PRINT ALL INFORMATION



POSITION APPLIED FOR: <b>BUS OPERATOR</b>	Date: _____
---	-------------

### PERSONAL INFORMATION

SURNAME	GIVEN NAME		
ADDRESS	CITY	PROVINCE	POSTAL CODE
PHONE NUMBER - HOME	MESSAGE / BUSINESS NUMBER		

### PLEASE CHECK THE FOLLOWING

Are you legally entitled to work in Canada? ☐ Yes ☐ No (i.e. Canadian citizen, Landed immigrant status, work permit)

Date available for work (specify): \_\_\_\_\_

Can you work the following? ☐ Days ☐ Evenings ☐ Shift ☐ Weekends ☐ Overtime

Have you ever been employed by the City of Winnipeg? ☐ Yes ☐ No  
If "Yes", which Department? \_\_\_\_\_ Year \_\_\_\_\_ Supervisor's Name \_\_\_\_\_

Do you have a valid driver's license? ☐ Yes ☐ No  
If "Yes", Province \_\_\_\_\_ Class \_\_\_\_\_ Merits \_\_\_\_\_ Demerits \_\_\_\_\_ (cannot have more than 0 demerits)

Have you ever taken a defensive driving course? ☐ Yes ☐ No  
If "Yes", Certificate Number \_\_\_\_\_ Date \_\_\_\_\_

EDUCATION AND TRAINING: (Note: If the following information is supplied on a resume, go to the next section.)			
	Name and Location	Highest Level Completed / Vocation	
HIGH SCHOOL			
POST-SECONDARY EDUCATION	Name and Location	Certificate, Diploma, Degree or Level Completed	Major/Specialty
COMMUNITY COLLEGE			
UNIVERSITY			
OTHER			

Professional qualification, memberships, licenses, etc. \_\_\_\_\_

**EMPLOYMENT HISTORY - LIST IN ORDER BEGINNING WITH PRESENT OR LAST EMPLOYER.**

(NOTE: Failure to complete this section in detail could restrict your chances for employment. If more space is required, attach extra sheets).

1. Present/Last Employer		Address	
Position/Title	Supervisor's Name		Telephone Number
Period of Employment Month Year To Month Year		Reason for Leaving	
Describe Duties/Responsibilities			

2. Present/Last Employer		Address	
Position/Title	Supervisor's Name		Telephone Number
Period of Employment Month Year To Month Year		Reason for Leaving	
Describe Duties/Responsibilities			

3. Present/Last Employer		Address	
Position/Title	Supervisor's Name		Telephone Number
Period of Employment Month Year To Month Year		Reason for Leaving	
Describe Duties/Responsibilities			

4. Present/Last Employer		Address	
Position/Title	Supervisor's Name		Telephone Number
Period of Employment Month Year To Month Year		Reason for Leaving	
Describe Duties/Responsibilities			



Please explain any gaps in your work history shown on Page 2.

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Can we contact your present employer for a reference check? ☐ Yes ☐ No

Were you ever dismissed or asked to resign from any position? ☐ Yes ☐ No  
If "Yes", give details

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Other work related and volunteer experience:

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Do you have any physical limitations or health problems that may affect your performance in the type of work applied for? (I.e. confined spaces, heights, etc). ☐ Yes ☐ No  
If "Yes", give details

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#### LANGUAGES

English: Speak ☐ Read ☐ Write ☐  
French: Speak ☐ Read ☐ Write ☐  
OTHER: Speak ☐ Read ☐ Write ☐

#### IMPORTANT - PLEASE NOTE

Applicants are advised that an offer of employment will be contingent upon the following:

- 1) obtaining a satisfactory employment reference check;
- 2) passing a physical examination, including a test for illegal drug and alcohol use;
- 3) passing a Police security check where applicable;
- 4) submitting proof of education, certificates, etc. if requested;
- 5) submitting a copy of your driving record (driver's abstract) at your expense, if requested.

Applicants are also advised that there is a probationary period of employment. During this period, the City of Winnipeg may terminate employment without notice if it determines that the employee is not suitable for the position.

#### CERTIFICATION OF APPLICANT

I HEREBY CERTIFY THAT THE INFORMATION GIVEN IN THIS APPLICATION IS TRUE, CORRECT AND COMPLETE TO THE BEST OF MY KNOWLEDGE. I GRANT PERMISSION TO THE CITY OF WINNIPEG TO CARRY OUT WHATEVER PERSONAL INVESTIGATION IT FINDS NECESSARY CONCERNING THIS APPLICATION. I UNDERSTAND THAT FALSIFIED OR MISLEADING STATEMENTS AND OMISSIONS WILL RESULT IN REJECTION OF THIS APPLICATION, AND, IF EMPLOYED, MAY BE CAUSE FOR MY TERMINATION.

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SIGNATURE

## VOLUNTARY DECLARATION PROSPECTIVE CITY OF WINNIPEG EMPLOYEES

The City of Winnipeg is committed to building and maintaining a workforce that is representative of the available labour market in the City. The City of Winnipeg is also committed to ensuring that all future and current employees are treated fairly with respect to recruitment, selection, promotion, and training opportunities. The information you provide will help identify where employment practices may be creating unnecessary barriers for certain groups of people.

In Canada, four groups have been identified as having faced arbitrary and unfair employment barriers. They are:

### Women

### Aboriginal People

First Nation (includes status, treaty or non-status), Metis and Inuit

### Visible Minority

Persons (other than Aboriginal) who are non-white in colour/race regardless of place of birth. E.g. Chinese, Filipino, Black, Asian, Latin American, other, etc.

### Physical or Mental Disability

A disability is defined as a long-term or recurring physical, mental, psychiatric, sensory or learning impairment which limits the quantity or type of work you can do in the workplace or could be perceived as a limitation. These include visible and non-visible disabilities.

### PLEASE CHECK THE BOXES WHICH APPLY TO YOU:

1. Are you? ☐ Male ☐ Female
  
2. Are you an Aboriginal person? ☐ Yes ☐ No  
Please specify the group \_\_\_\_\_
  
3. Are you a visible minority? ☐ Yes ☐ No  
Please specify the group \_\_\_\_\_
  
4. Are you a person with a disability? ☐ Yes ☐ No  
Please specify the type: \_\_\_\_\_

If you have any questions about the Voluntary Declaration Form or about the Equity and Diversity Initiative, please contact: The Equity and Diversity Office

Corporate Services Department  
The City of Winnipeg  
Main Floor, 510 Main Street  
Winnipeg, MB R3B 1B9  
Phone: (204) 986-2156



## BUS OPERATOR APPLICANTS

***PLEASE CLEARLY PRINT ALL INFORMATION***

SURNAME:		GIVEN NAME:	
ADDRESS - NUMBER & STREET:		HOME TELEPHONE:	BUS./MSG. NO.
CITY/TOWN:	PROVINCE:	POSTAL CODE:	

Have you ever applied to be a Winnipeg Transit Bus Operator before?

☐ No ☐ Yes IF Yes, YEAR \_\_\_\_\_

Have you ever been scheduled for, or taken any of the following Winnipeg Transit Tests?

Public Relations Test: ☐ No ☐ Yes ☐ Pass ☐ Fail IF Yes, YEAR \_\_\_\_\_

Written Test: ☐ No ☐ Yes ☐ Pass ☐ Fail IF Yes, YEAR \_\_\_\_\_

Driver Aptitude Test: ☐ No ☐ Yes ☐ Pass ☐ Fail IF Yes, YEAR \_\_\_\_\_

Have you ever been interviewed? ☐ No ☐ Yes ☐ Pass ☐ Fail IF Yes, YEAR \_\_\_\_\_

***DECLARATION: I understand that falsified or misleading statements and omissions will result in rejection of this application, and, if employed, may be cause for my termination.***

DATE: \_\_\_\_\_ SIGNATURE: \_\_\_\_\_

<b><i>FOR OFFICE USE ONLY:</i></b>	<b>Score</b>	<b>%</b>	<b>P/F</b>	<b>Date</b>
<b>PUBLIC RELATIONS</b>				
<b>WRITTEN</b>				
<b>DRIVER APTITUDE</b>				
<b>INTERVIEW</b>				
<b>COMMENTS:</b> _____				

# APPENDIX B – KING COUNTY METRO, CALIFORNIA DEPT. OF TRANSPORTATION, METRO TRANSIT DIVISION: EMPLOYMENT APPLICATION FORM

## Application for Employment



### Applicant Data sheet

King County is an equal opportunity employer.

The following information is requested for purposes of obtaining data that will enable us to implement the King County Affirmative Action Plan and let us know how you learned about this job. All information you provide is confidential and any disclosure of your gender and ethnic group/race is voluntary.

PLEASE PRINT OR TYPE

Position Title:

Job Announcement #:

Name:

LAST

FIRST

M.I.

Mailing Address

STREET

APT#

CITY

STA  
TE

ZIP  
CODE

( ) -  
HOME PHONE NUMBER

( ) -  
E-MAIL ADDRESS

**GENDER: (OPTIONAL)**

☐

Female

☐

Male

**REFERRAL SOURCE:** How did you learn about this position? Mark all boxes applicable from the list below.

King County sources: ☐ Bulletin Boards ☐ Job Line ☐ Employment Centers ☐ Web Site ☐ Community Center

☐ Employee referral ☐ College/university placement office: specify \_\_\_\_\_ ☐ Friend/word of mouth

☐ Community agency or group referral: specify \_\_\_\_\_ ☐ Other Web Site \_\_\_\_\_

☐ Newspaper: specify \_\_\_\_\_ date: \_\_\_\_\_ ☐ Radio / specify: \_\_\_\_\_ ☐ TV / specify \_\_\_\_\_ ☐ Other: \_\_\_\_\_

### AFFIRMATIVE ACTION DATA

King County is committed to non-discrimination in employment. To assist in this effort, the County requests that you provide the following information which will be used in evaluating your application. Completion of this section is optional.

### ETHNIC GROUP/RACE

If you identify with more than one ethnic group set forth below, we respect your desire to do so. However, it would be helpful if you mark the ONE ethnic group with which you most identify.

**B** ☐ **African American/Black:** Persons having origins in any of the black racial groups of Africa.

**I** ☐ **American Indian/Alaska Native:** Persons having origins in the original peoples of North America who maintain cultural identification through tribal affiliation or community recognition.

**A** ☐ **Asian/Pacific Islander:** Persons having origins in the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. These areas include China, Japan, Korea, the Philippine Islands, and Samoa.

**H** ☐ **Hispanic/Latino:** Persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin unique to the Americas, regardless of race.

**W** ☐ **White/Caucasian:** Persons having origins in any of the original peoples of Europe, North Africa, the Middle East, or Southwest Asia.

### DISABILITY

**Do you meet the following disability definition?** ☐ YES ☐ NO A disability is a *permanent physical, mental or sensory condition*. The disability must be substantial rather than slight, and permanent in that it is seldom fully corrected by medical replacement, therapy, or surgical means. This confidential information is solicited and maintained for affirmative action purposes only. It should not be construed and will not be considered as a request for accommodation.

**Will you need accommodation in the application or testing process?**

☐ YES ☐ NO If you checked the "YES" box, the human resources staff person coordinating this recruitment will send you a request asking for additional information. You may also call the contact number listed on job posting in the *Where to Apply* section.

**Alternative Format Available at 206-296-7586 (Voice) or 1-800-833-6388 (TTY - WA Relay Service)**

**VETERAN STATUS**

Dates Served: \_\_\_\_\_ to \_\_\_\_\_.

**Vietnam-era Veteran**

☐ YES ☐ NO

[Percent of disability: \_\_\_\_\_%] "A person who served on active duty for a period of more than 180 days, and was discharged or released therefrom with other than dishonorable discharge, if any part of such active duty occurred: (1) In Vietnam between 2-28-61 and 5-7-75; or between 8-5-64 and 5-7-75 in all other cases; or, (2) was discharged or released from active duty for a service-connected disability if any part of such active duty was performed; (3) in Vietnam between 2-28-61 and 5-7-75; or between 8-5-64 and 5-7-75 in all other cases."

**Section *Special Disabled Veteran***

☐ YES ☐ NO

[Percent of disability: \_\_\_\_\_%] "A veteran who is entitled to compensation or who, but for the receipt of military retirement pay, would be entitled to compensation under laws administered by the U.S. Department of Veterans Affairs for disability: (1) Rated at 30 percent or more; or Rated 10 or 20 percent in the case of a veteran who has been determined under 38 U.S.C. 3106 to have a serious employment handicap; or, (2) A person who was discharged or released from active duty for a service connected disability."

**MILITARY SERVICE/VETERAN'S PREFERENCE**

Per RCW 41.04.010, certain veterans are eligible for Veteran's Preference. **To be eligible, you must meet all of the following four criteria:**

1. You have not previously used your veteran's status to obtain an offer of employment.
2. You served in the military during any period of war (the Persian Gulf War began August 2, 1990 and has not yet officially ended). Military service during the Lebanon crisis, the invasion of Grenada, or the Operation Just Cause in Panama must have resulted in award of the respective campaign badge or medal for these military actions) OR you received the Armed Forces Expeditionary Medal or the Marine Corps or Navy Expeditionary Medal for opposed action on foreign soil, or the Southwest Asia Service Medal.
3. You served on active duty for at least 180 days. (Reserve and National Guard Service for less than six continuous months is not regarded as active duty.)

Have you ever obtained employment in Washington State using Veteran's Preference? ☐ YES ☐ NO

Do you claim Veteran's Preference for this examination? ☐ YES ☐ NO

If claiming Veteran's Preference, you must attach form DD214. Form attached? ☐ YES ☐ NO

Have you served on active duty in the U.S. military in the last 96 months? ☐ YES ☐ NO

If yes: Branch of service: ☐ Air Force ☐ Army ☐ Coast Guard ☐ Marines ☐ Navy

☐ Regular ☐ Reserve ☐ National Guard

Active Duty Dates \_\_\_\_\_ to \_\_\_\_\_

Are you receiving Veteran's retirement pay? ☐ YES ☐ NO

**CURRENT EMPLOYMENT WITH KING COUNTY**

Are you currently a King County employee? ☐ YES\* ☐ NO

If yes, what is your status? ☐ Regular ☐ Temporary (TLT, short term temp, intern)

\* NOTE: If you are employed by a temporary agency or have a contract with King County, you are NOT considered an employee.

Current job title (King County employees only): \_\_\_\_\_

In which department do you work?

- |  |  |   |
|--|--|---|
| <input type="checkbox"/> Adult and Juvenile Detention      | <input type="checkbox"/> District Court            | <input type="checkbox"/> Prosecuting Attorney |
| <input type="checkbox"/> Assessments                       | <input type="checkbox"/> Executive Services        | <input type="checkbox"/> Public Health        |
| <input type="checkbox"/> Community & Human Services        | <input type="checkbox"/> Judicial Administration   | <input type="checkbox"/> Sheriff's Office     |
| <input type="checkbox"/> County Council                    | <input type="checkbox"/> Natural Resources & Parks | <input type="checkbox"/> Superior Court       |
| <input type="checkbox"/> Development & Environmental Svcs. | <input type="checkbox"/> Office of the Executive   | <input type="checkbox"/> Transportation       |

I certify that the information provided above is accurate and true, and may be subject to verification. I understand that falsification of any information requested above may disqualify my application and/or be grounds for dismissal.

7/06 Model Transit Program for: \_\_\_\_\_

*Transit Agency Name*

**SIGNATURE** \_\_\_\_\_

**DATE** \_\_\_\_\_

**APPLICATION FOR EMPLOYMENT**

*King County is an equal opportunity employer.*
**Position Title:** \_\_\_\_\_

**Job Announcement #:** \_\_\_\_\_

**Instructions:**

- ♦ Carefully read the job announcement relating to the position for which you are applying.
- ♦ Provide all information requested by **typing or printing** in ink.
- ♦ Be sure to date and sign the application. An incomplete application may delay action or disqualify you.
- ♦ Please return all required materials as indicated on the job announcement.

**Your Social Security Number is not requested on this job application, but it may be requested when an offer of employment is extended if the position requires a background investigation.**

Human Resources Division:  
Job Line:  
Washington Relay Service:

(206) 296-7340  
(206) 296-5209  
1-800-833-6388

Last Name		First Name		Middle Initial	
Street Address		City		State Zip Code	
Home Phone ( ) -		Name and Message Phone No. ( ) -			
Are you currently a King County employee?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Have you previously worked for King County?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Are you currently a full time employee?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Are you 18 years or older?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Would you accept a part-time position?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Would you accept a temporary position?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Are you a U.S. Citizen? <b>(Sheriff's Office applicants only)</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No			
Can you provide documentation that authorizes you to work in the United States of America?		<input type="checkbox"/> Yes <input type="checkbox"/> No			
High School	Location (City )	Location (State)	<input type="checkbox"/> Yes <input type="checkbox"/> No Graduate/G.E.D.		
College or University	Location (City & State)	Dates (From/To) / to /	<input type="checkbox"/> Yes <input type="checkbox"/> No Graduate		
Degree Title	Date /	Major	Credit Hours		
Other Training	Location (City & State)	Dates (From/To) / to /			
Other Training	Location (City & State)	Dates (From/To) / to /			
Other valid professional licenses and certificates:	Type of License:	Issuing State	Registration No.:	Expiration Date / /	
Names of relatives employed by King County		Department/Division		Relationship	
Have you been convicted of a felony within the past 10 years? <input type="checkbox"/> Yes <input type="checkbox"/> No					
If yes, for what were you convicted? _____					
<b>NOTE:</b> A conviction will not necessarily bar you from employment and will be considered only if it relates reasonably to the job duties.					
I certify that all statements on my application materials are true to the best of my knowledge. I understand that false statements shall be sufficient cause for elimination from further consideration or, if employed, for disciplinary action up to and including termination. Unless otherwise indicated, I agree and give my consent that any person, firm or organization listed hereon is authorized to furnish King County with reference material concerning my character, past employment or any other information requested. Further, I understand that at the time of hire I will be required to provide documentation that authorizes me to work in the United States of America.					
					<b>Date:</b>
<b>Signature:</b>					
<b>For Office Use Only</b>					
<input type="checkbox"/> Accepted <input type="checkbox"/> Accepted subject to:		<input type="checkbox"/> Disqualified <input type="checkbox"/> Experience <input type="checkbox"/> Education <input type="checkbox"/> Other (specify)		Analyst	Date
Action					



Previous Employment **This section must be completed in detail.** A resume will not substitute for a completed King County application unless the job posting so indicates. Beginning with your present or most recent employment, list work experience gained during the past 10 years. Include any periods of self-employment, U.S. military service, and any job-related volunteer experience. If more than one position has been held with the same employer, list each separately. If additional space is necessary, please attach additional sheets.

Job Title		Employer's Name and Address	
Supervisor's Name			
Supervisor's Phone Number (    )    -	Employer's Phone # (    )    -	May we contact this employer? <input type="checkbox"/> Yes <input type="checkbox"/> No	Number of employees supervised by you:
Dates Employed (Mo./Yr.) /    to    /	Hours per week:	Last Salary            \$	
Duties:			
Reason for leaving or considering change:			
Job Title		Employer's Name and Address	
Supervisor's Name			
Supervisor's Phone Number (    )    -	Employer's Phone # (    )    -	May we contact this employer? <input type="checkbox"/> Yes <input type="checkbox"/> No	Number of employees supervised by you:
Dates Employed (Mo./Yr.) /    to    /	Hours per week:	Last Salary            \$	
Duties:			
Reason for leaving or considering change:			
Job Title		Employer's Name and Address	
Supervisor's Name			
Supervisor's Phone Number (    )    -	Employer's Phone # (    )    -	May we contact this employer? <input type="checkbox"/> Yes <input type="checkbox"/> No	Number of employees supervised by you:
Dates Employed (Mo./Yr.) /    to    /	Hours per week:	Last Salary            \$	
Duties:			
Reason for leaving or considering change:			
Job Title		Employer's Name and Address	
Supervisor's Name			
Supervisor's Phone Number (    )    -	Employer's Phone # (    )    -	May we contact this employer? <input type="checkbox"/> Yes <input type="checkbox"/> No	Number of employees supervised by you:
Dates Employed (Mo./Yr.) /    to    /	Hours per week:	Last Salary            \$	
Duties:			
Reason for leaving or considering change:			

## APPENDIX C – TRIMET, TRI-COUNTY METROPOLITAN TRANSPORTATION DISTRICT OF OREGON: APPLICATION FOR EMPLOYMENT

### Application for Employment

TriMet makes reasonable accommodations for qualified individuals with disabilities unless it would be an undue hardship. If you believe you need a reasonable accommodation in order to participate in the application or interview process, please notify a Human Resources representative of the requested accommodation.

TriMet hires only United States citizens and aliens lawfully authorized to work in the United States. All new employees will be required to complete an I-9 form and provide documentation establishing identity and employment eligibility within three (3) days of hire.



Tri-County Metropolitan Transportation District of Columbia  
Attn: Human Resources  
4012 SE 17<sup>th</sup> Ave.  
Portland, OR 97202  
*TriMet is an Equal Opportunity and Drug Free Workplace Employer.*

**Unsigned, incomplete or illegible applications will not be considered. A resume may be attached to the application, but it does not substitute for completion of this application form.**

Last Name		First	MI	Position Applied For	Requisition No.	Today's Date
Address				Home Phone ( )	Message Phone ( )	
City		State		Zip Code		
Social Security (optional)				In emergency, please notify:		
				Name:		
Work Phone ( )				Number: ( )		

Are you legally eligible to work in the United States? <input type="checkbox"/> yes <input type="checkbox"/> no	Are you a former TriMet employee? <input type="checkbox"/> yes <input type="checkbox"/> no	Dates of previous TriMet employ:
Will you be able to satisfy TriMet's attendance requirements, which require employees to report to work on time regularly and to avoid absences? <input type="checkbox"/> yes <input type="checkbox"/> no	Can you perform the essential duties of the job for which you are applying with or without reasonable accommodation? <input type="checkbox"/> yes <input type="checkbox"/> no	
If required by the job, can you work:    Nights <input type="checkbox"/> yes <input type="checkbox"/> no    Weekends/Holidays <input type="checkbox"/> yes <input type="checkbox"/> no    Split Shifts <input type="checkbox"/> yes <input type="checkbox"/> no		
As an adult, are you awaiting prosecution, or have you ever been convicted of a criminal offense other than a traffic violation? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, please explain (Convictions are evaluated for each position and are not necessarily disqualifying. <b>NOTE:</b> Attach Additional sheets if necessary.):		

### Applicants for positions requiring driving (and driver's license) must complete the following:

OR State Driver's License Number	Have you held a driver's license in a state other than OR in the last five years? <input type="checkbox"/> yes <input type="checkbox"/> no				
Expiration Date	State: Number:				
How long have you been driving since you obtained your first license?	State: Number:				
In the last five years, have you received any traffic violations, other than parking violations, in the United States or Canada? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, please list below beginning with the most recent violation.					
Mo/Yr	Violation	City/State or Province	On the job?	Suspended?	Fined?
			<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no
			<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no	<input type="checkbox"/> yes <input type="checkbox"/> no

**Applicant Name:** \_\_\_\_\_  
**Experience Record**

**Part A: Experience Record** - Specifically list and describe all of your work and/or volunteer experience for the last 10 years, starting with your current position.

From: mo/yr	To: mo/yr	Name of Company	Title	Salary
Address		City	State	Zip
Supervisor			Phone ( )	
Duties/Responsibilities <input type="checkbox"/> F/T <input type="checkbox"/> P/T ____ hours per week				
Reason for Leaving				May we contact this employer? <input type="checkbox"/> yes <input type="checkbox"/> no

From: mo/yr	To: mo/yr	Name of Company	Title	Salary
Address		City	State	Zip
Supervisor			Phone ( )	
Duties/Responsibilities <input type="checkbox"/> F/T <input type="checkbox"/> P/T ____ hours per week				
Reason for Leaving				May we contact this employer? <input type="checkbox"/> yes <input type="checkbox"/> no

From: mo/yr	To: mo/yr	Name of Company	Title	Salary
Address		City	State	Zip
Supervisor			Phone ( )	
Duties/Responsibilities <input type="checkbox"/> F/T <input type="checkbox"/> P/T ____ hours per week				
Reason for Leaving				May we contact this employer? <input type="checkbox"/> yes <input type="checkbox"/> no

From: mo/yr	To: mo/yr	Name of Company	Title	Salary
Address		City	State	Zip
Supervisor			Phone ( )	
Duties/Responsibilities <input type="checkbox"/> F/T <input type="checkbox"/> P/T ____ hours per week				
Reason for Leaving				May we contact this employer? <input type="checkbox"/> yes <input type="checkbox"/> no

From: mo/yr	To: mo/yr	Name of Company	Title	Salary
Address		City	State	Zip
Supervisor			Phone ( )	
Duties/Responsibilities <input type="checkbox"/> F/T <input type="checkbox"/> P/T ____ hours per week				



In consideration of my being evaluated and considered for employment, I hereby authorize TriMet to verify the information provided on this application. I affirm that to the best of my knowledge, the information given on this application and in interviews is true and correct. I realize that any misrepresentation or omission of required facts is cause for rejection of my application(s) or possible termination of my employment at TriMet.

I understand that an offer of employment is conditional upon the results of a post-offer medical examination and/or drug screen as defined by policy or required by law. I consent to that examination/screen. I understand that confirmed positive drug test results, refusal to submit to such drug screen, falsification of test results, or alteration of test forms will result in the disqualification of my application or termination of employment. I also understand that an offer of employment may be revoked if the post-offer medical exam shows that I am unable to perform the essential functions of the job 1) with reasonable accommodation, if necessary, and 2) without direct threat to others or myself.

I understand that nothing contained in this employment application or any other company document creates a contract between the company and myself for employment or any other benefit. No promises regarding employment have been made to me and I understand that no such promise or guarantee is binding on the company. If an employment relationship is established, I understand that employment at TriMet is at-will, and that I may resign, or my employment and compensation can be terminated with or without cause, and with or without advance notice, at any time, by either myself or the company.

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

I authorize all previous employers and supervisors, including all persons with and for whom I have worked, to give TriMet's representatives any and all information regarding myself and my previous employment. I release TriMet and all previous employers and supervisors from liabilities for and damages that may result from furnishing information to TriMet. If employed, I release TriMet from any liabilities for future references it may provide regarding my work at TriMet.

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Please note: TriMet does not currently accept electronic signatures. Applicants will be required to sign the application if they are chosen to continue in the hiring process.

## Optional Applicant Survey

Please specifically indicate how you learned of this position, check only one:

- ☐ TriMet's website (www.trimet.org)
- ☐ Other website (specify): \_\_\_\_\_
- ☐ Job Hotline 503-962-7640
- ☐ The Oregonian ☐ El Hispanic ☐ Asian Reporter
- ☐ El Latino ☐ Portland Observer ☐ Portland Scanner
- ☐ Other advertisement or publication (specify): \_\_\_\_\_
- ☐ Job Fair. If so, please note the date and event: \_\_\_\_\_
- ☐ Organization, school or group. If so, please provide agency name: \_\_\_\_\_
- ☐ Referred by current TriMet employee. If yes, who? \_\_\_\_\_
- ☐ State Employment Department
- ☐ Radio Commercial
- ☐ TV Commercial
- ☐ Other (specify): \_\_\_\_\_

### EQUAL OPPORTUNITY EMPLOYMENT

TriMet has an Affirmative Action Plan, which requires that we identify each applicant by the factors below. This information will be detached from the Employment Application and the information will be used for our statistics. No decision in the selection process will be based on this information. This information is voluntary and will be kept confidential in accordance with applicable laws. Refusal to provide this information will not subject the applicant to any adverse treatment.

#### Ethnicity

- ☐ Two – If you identify with more than one race, please check this.
- ☐ Black (Not of Hispanic origin)
- ☐ Hispanic
- ☐ White (Not of Hispanic origin)
- ☐ American Indian or Alaskan Native
- ☐ Asian
- ☐ Native Hawaiian or other Pacific Islander


#### Gender

- ☐ Male ☐ Female



# APPENDIX D – SANTA CRUZ METROPOLITAN TRANSIT DISTRICT, SANTA CRUZ, CALIFORNIA: EMPLOYMENT APPLICATION FORM

**SANTA CRUZ METROPOLITAN TRANSIT DISTRICT**  
 Human Resources Department  
 370 Encinal Street, #100  
 Santa Cruz, California 95060  
 (831) 423-5583  
 TDD (831) 426-1027



## EMPLOYMENT APPLICATION

ANSWER ALL QUESTIONS. USE INK OR TYPEWRITER  
 A SEPARATE APPLICATION MUST BE COMPLETED FOR EACH POSITION APPLIED FOR

TITLE OF POSITION \_\_\_\_\_

NAME \_\_\_\_\_ DATE \_\_\_\_\_  
(LAST) (FIRST) (MIDDLE)

ADDRESS \_\_\_\_\_  
(STREET AND NUMBER) (CITY) (STATE) (ZIP)

MAILING ADDRESS IF DIFFERENT THAN ABOVE \_\_\_\_\_

TELEPHONE ( ) \_\_\_\_\_ BUSINESS OR MESSAGE TELEPHONE ( ) \_\_\_\_\_

SOC. SEC. NO. / / DRIVER'S LICENSE NO. \_\_\_\_\_ CLASS \_\_\_\_\_ STATE \_\_\_\_\_

Do you have immediate family members employed by the District? YES ☐ NO ☐ Name \_\_\_\_\_

Who should be notified in case of emergency? Name \_\_\_\_\_ Phone \_\_\_\_\_

Other names employed under if different than above \_\_\_\_\_ Dates \_\_\_\_\_

Have you ever been **convicted** by any court of an offense? YES NO If yes, list all convictions on a separate sheet of paper. Conviction is **not** necessarily disqualifying. You may omit: a) traffic violations for which the fine imposed was \$50 or less; b) any offense committed prior to your 18<sup>th</sup> birthday which was finally adjudicated in juvenile court or under a youth offender law; c) any incident that has been sealed.

Have you ever been employed by the District? YES NO Title \_\_\_\_\_ From \_\_\_\_\_ To \_\_\_\_\_

Languages other than English in which you are proficient: Reading \_\_\_\_\_ Writing \_\_\_\_\_ Speaking \_\_\_\_\_

### EDUCATION AND TRAINING

Check appropriate box if you possess one of the following: High School Diploma G.E.D. Certificate

Name and Location of Colleges/Universities Attended	From: Mo./Yr.	To: Mo./Yr.	Course of Study/Major	Units Completed		Type Degree	Yr. Degree Completed
				Semester	Quarter		
A)							
B)							
C)							
D)							
Other Schools/Training Completed			Course Studies	Hours Completed		Certificate Awarded	
E)							
F)							

Professional License or Certificate or Other Credential, If Required for This Position	Description	Number	By Whom Issued	Expiration Date

HRD 027a (6-94)

AN EQUAL OPPORTUNITY/AFFIRMATIVE ACTION (MINORITY, FEMALE, DISABLED) EMPLOYER



## AFFIRMATIVE ACTION QUESTIONNAIRE

The Santa Cruz Metropolitan Transit District (District) is an equal opportunity/affirmative action employer. Qualified applicants are considered for employment without regard to race, color, ancestry, national origin, religious creed, sex, sexual orientation, age, marital status, medical condition or disability.

To demonstrate that we meet equal employment opportunity requirements, periodically we must report statistical information to the federal government. To aid the District in its commitment to equal employment opportunity, applicants are asked to voluntarily provide the following information. This form will be separated from your application prior to administration of the examination and will be kept confidential.

Your Name: \_\_\_\_\_ Sex: Male \_\_\_\_\_ Female \_\_\_\_\_

Position Applying For: \_\_\_\_\_

Today's Date: \_\_\_\_\_ Your Birth Date: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

How did you learn of the job opportunity for which you are applying?

Recruitment flyer on a District bulletin board (location) \_\_\_\_\_

Recruitment flyer on a non-District bulletin board (location) \_\_\_\_\_

Telephone inquiry \_\_\_\_\_

Newspaper (name) \_\_\_\_\_

District employee \_\_\_\_\_

Community service agency (name) \_\_\_\_\_

District interest card \_\_\_\_\_

Friend or relative \_\_\_\_\_

School (name and office) \_\_\_\_\_

State employment office \_\_\_\_\_

Metro On-Line \_\_\_\_\_

Other (please specify) \_\_\_\_\_

Ethnic Origin: (If you are of mixed racial/ethnic background, choose the category with which you most closely identify yourself):

\_\_\_\_\_ **White** (not of Hispanic origin): All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

\_\_\_\_\_ **Black** (not of Hispanic origin): All person having origins in any of the Black racial groups of Africa.

\_\_\_\_\_ **Hispanic**: All persons of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race.

\_\_\_\_\_ **Asian or Pacific Islander**: All persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands. This area includes, for example, China, India, Japan, the Philippine Islands, Korea, and Samoa.

\_\_\_\_\_ **American Indian or Alaskan Native**: All persons having origins in any of the original peoples of North America and who maintain cultural identification through tribal affiliation or community recognition.

Please indicate if the following definition applies to you:

\_\_\_\_\_ Disabled individual: A person who (1) has a physical or mental impairment which substantially limits one or more of such person's life activities, (2) has record of such impairment, or (3) is regarded as having such an impairment.

What is the nature of the disability: \_\_\_\_\_ Visual \_\_\_\_\_ Physical \_\_\_\_\_ Hearing \_\_\_\_\_ Speech \_\_\_\_\_ Developmental

Other (please explain): \_\_\_\_\_

Do you require special testing arrangements because of a physical impairment? Yes \_\_\_\_\_ No \_\_\_\_\_ If yes, call (408) 423-5583.

HRD 027a (6/94)

## APPENDIX E – JOB DESCRIPTION EXAMPLES FROM CITY OF DIXON, CALIFORNIA

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### **CITY OF DIXON, CALIFORNIA October 29, 1999 TRANSIT DRIVER TRAINEE**

#### **PURPOSE**

Receives on-the-job training in order to prepare for employment as a Transit Driver I.

#### **WORKING CONDITIONS**

Driving assignments involve exposure to variable weather, odors and fumes.

#### **PHYSICAL DEMANDS**

Work involves prolonged sitting; moderate lifting, carrying, stooping and reaching. Emphasizes vision, hearing, eye-hand and foot coordination and speech.

#### **SUPERVISION RECEIVED/GIVEN**

Supervision received is characterized by direct supervision intended to provide the training necessary to become a Transit Driver I for the City of Dixon.

#### **DISTINGUISHING CHARACTERISTICS**

This is a temporary position designed to provide the knowledge and training necessary to become a Transit Driver for the City of Dixon.

#### **ESSENTIAL JOB FUNCTIONS**

Duties may include, but are not limited to, the following:

Receives on-the-job training for all functional areas of Transit Driver including:

1. Driving a General Public Para-transit Vehicle (GPPV) on City streets and highways in all weather conditions in accordance with safe driving practices and California Vehicle Codes.
2. Participating in classroom training and behind the wheel training on defensive driving and other related subjects.
3. Assisting patrons boarding and leaving the bus; especially the elderly, handicapped, and school age children.
4. Operating a hydraulic wheelchair lift.
5. Operating a two-way radio and cellular phone; responding to requests for service by making adjustments to existing routes and schedules.
6. Familiarizing self with geographic and street layout of Dixon.
7. Maintaining daily trip logs; handling and accounting for bus fares.
8. Conducting daily vehicle checks as prescribed by state standards, reporting vehicle repairs needed to supervisor, performing minor maintenance as needed, and cleaning interior and exterior of vehicle as needed; cleans transit vehicle storage facility and bus shelters as assigned.
9. Makes every reasonable effort to continually improve the manner in which the job is performed and increase the quality of service to the public.

## DESIRABLE QUALIFICATIONS

### Knowledge and Abilities:

1. Ability to successfully complete the Transit Driver training and obtain a valid California Class B Driver's License and a California Highway Patrol General Public Para-transit Vehicle (GPPV) Certificate.
2. Ability to safely operate a motor vehicle, to transport passengers, and to perform basic maintenance and emergency repair.
3. Ability to quickly learn and effectively perform the assigned job duties; to make limited adjustments to existing schedules and routes in order to maximize service; to learn the geographic lay out of the City; to speak clearly and concisely; to understand and carry out oral and written instructions; to physically aid passengers boarding and leaving the bus; to maintain order among passengers on a bus; and to establish and maintain cooperative and effective relationships with those contacted in the course of work.
4. Must have customer service skills and the ability to react to emergency situations.

### Education and Experience:

Any combination equivalent to experience and education that would likely provide the required knowledge and abilities would be qualifying. A typical way to obtain the knowledge and abilities would be:

#### Education:

Equivalent to completion of the 12th grade.

#### Experience:

None required.

#### Other Requirements:

Must possess a valid California Driver's License and a satisfactory driving record as a condition of initial and continued employment.

Satisfactory completion of a DMV medical exam including drug screen is a condition of employment.

Must submit to random drug/alcohol testing.

Submit to the fingerprinting process.

Possession of, or ability to obtain, a valid California Class B Driver's License and a California Highway Patrol

General Public Para-transit Vehicle (GPPV) Certificate at City expense.

Spanish speaking ability is desirable.

**CITY OF DIXON, CALIFORNIA**  
**October 29, 1999**  
**TRANSIT DRIVER I**

**PURPOSE**

Drives a Para-transit vehicle on a demand responsive curb-to-curb and on a deviated fixed route transit system; performs related and other work as required.

**WORKING CONDITIONS**

Driving assignments involve exposure to variable weather, odors and fumes.

**PHYSICAL DEMANDS**

Work involves prolonged sitting, moderate lifting, carrying, stooping and reaching. Emphasizes vision, hearing, eye-hand and foot coordination and speech.

**SUPERVISION RECEIVED/GIVEN**

Supervision received is intended to provide general support and control. It may include more detailed instruction regarding work methods, particularly during earlier stages of employment. Supervision given may involve providing general direction to Transit Driver Trainees.

**DISTINGUISHING CHARACTERISTICS**

Positions in this class are normally filled by advancement from the Transit Driver Trainee class. Adequate performance at the level of Transit Driver I requires knowledge of departmental procedures and the ability to work independently and safely.

**ESSENTIAL JOB FUNCTIONS**

Duties may include, but are not limited to, the following:

1. Drives a Para-transit vehicle on City streets and highways in all weather conditions in accordance with safe driving practices and California Vehicle Codes.
2. Assists patrons boarding and leaving the bus; especially the elderly, handicapped, and school age children.
3. Operates a hydraulic wheelchair lift.
4. Operates a two-way radio and cellular phone; responding to requests for service by making adjustments to existing routes and schedules.
5. Maintains daily trip logs, records, and statistics; handles and accounts for bus fares.
6. Conducts daily vehicle checks as prescribed by state standards, reports vehicle repairs needed to supervisor, performs minor maintenance as needed.
7. Cleans interior and exterior of vehicle as needed; cleans transit vehicle storage facility and bus shelters as assigned.



8. Makes every reasonable effort to continually improve the manner in which the job is performed and increase the quality of service to the public.

## **DESIRABLE QUALIFICATIONS**

### Knowledge and Abilities:

Working knowledge of how to safely operate a motor vehicle, transport passengers, and perform basic maintenance and emergency repair. Knowledge of departmental procedure and the geographic layout of the City.

Ability to quickly learn and effectively perform the assigned job duties; to make limited adjustments to existing schedules and routes in order to maximize service; to speak clearly and concisely; to understand and carry out oral and written instructions; to physically aid passengers boarding and leaving the bus; to maintain order among passengers on a bus; and to establish and maintain cooperative and effective relationships with those contacted in the course of work.

Must have customer service skills and the ability to react to emergency situations.

### Education and Experience:

Any combination equivalent to experience and education that would likely provide the required knowledge and abilities would be qualifying. A typical way to obtain the knowledge and abilities would be:

#### Education:

Equivalent to completion of the 12th grade.

#### Experience:

Satisfactory completion of the City of Dixon Transit Driver Trainee on-the-job training program.

#### Other Requirements:

1. Must possess a valid California Class B Driver's License and a satisfactory driving record as a condition of initial and continued employment.
2. Must possess a California Highway Patrol General Para-transit Vehicle (GPPV) Certificate.
3. Satisfactory completion of a DMV medical exam including drug screen is a condition of employment.
4. Must submit to random drug/alcohol testing.
5. Spanish speaking ability is desirable.

## APPENDIX F – ADDITIONAL RESOURCES

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### 1. **Florida**

Design Handbook for Florida Bus Passenger Facilities

<http://www.dot.state.fl.us/transit/Pages/AccessingTransitHandbook.pdf>

Florida Paratransit Maintenance Consortium

[http://www.paratransit-fl.org/\(2jw0dpiaogbva23cngfxvn55\)/dotweb2.aspx](http://www.paratransit-fl.org/(2jw0dpiaogbva23cngfxvn55)/dotweb2.aspx)

Florida RTAP Program

<http://www.rtap.cutr.usf.edu/>

Bus Transit System Safety Review Form

<http://www.cutr.usf.edu/bussafety/documents/review-forms.pdf>

### 2. **Iowa**

Iowa Office of Public Transit Manager's Handbook

<http://www.iatransit.com/links/handbook/index.asp>

Iowa Office of Public Transit Resources

<http://www.iatransit.com/resources/resources.asp>

### 3. **Minnesota**

Guidebook for Minnesota Transit Providers

<http://www.dot.state.mn.us/transit/5311/index.html>

Transit Safety and Security Workbook

<http://www.cutr.usf.edu/bussafety/documents/MN- How to write a Safety Plan/table of contents.doc>

### 4. **North Carolina**

NCDOT Public Transit Training Resource Database

<http://apps.dot.state.nc.us/PTD/default.asp>

Training Material for Resource Guide

<http://www.cutr.usf.edu/bussafety/documents/safety-plan.doc>

System Safety Program Plan Elements

<http://www.cutr.usf.edu/bussafety/documents/safety-plan.doc>

Final Safety Workshop

<http://www.cutr.usf.edu/bussafety/documents/safety-wrksht.ppt>

Final Safety Element Worksheet

<http://www.cutr.usf.edu/bussafety/documents/safety-wrksht.doc>

5. **Texas**  
Texas Transit Safety Guidebook  
[http://www.cutr.usf.edu/bussafety/documents/0-4008-P1\\_1.pdf](http://www.cutr.usf.edu/bussafety/documents/0-4008-P1_1.pdf)
6. **Utah**  
Utah Transit Program Compliance Forms  
[http://www.dot.state.ut.us/index.php?m=s&q=/progdev/transit/program compliance\\_forms.htm](http://www.dot.state.ut.us/index.php?m=s&q=/progdev/transit/program%20compliance_forms.htm)
7. **Washington**  
Washington State Transit Insurance Pool Standards for Operations  
<http://www.wstip.org/services/bpfo.html>  
  
Volunteer Drivers - A Guide to Best Practices  
<http://www.wsdot.wa.gov/transit/vdg/default.htm>
8. **APTA**  
Manual for System Safety Program Plans  
<http://www.cutr.usf.edu/bussafety/documents/apta-sspp.pdf>  
  
Safety Management Audit Program  
<http://www.apta.com/services/safety/smap.cfm>
9. **FTA**  
FTA Drug & Alcohol Information  
<http://transit-safety.volpe.dot.gov/Safety/DATesting.asp>  
  
FTA Drug & Alcohol Testing Program  
<http://transit-safety.volpe.dot.gov/Publications/safety/BestPractices/BestPractices.pdf>
10. **TCRP**  
TCRP Report 66 - Practices to Reduce Bus Accidents  
[http://trb.org/publications/tcrp/tcrp\\_rpt\\_66.pdf](http://trb.org/publications/tcrp/tcrp_rpt_66.pdf)  
  
TCRP Report 81 - Toolbox for Transit Operator Fatigue  
[http://gulliver.trb.org/publications/tcrp/tcrp\\_rpt\\_81.pdf](http://gulliver.trb.org/publications/tcrp/tcrp_rpt_81.pdf)  
  
TCRP Synthesis 13 - Risk Management for Small-Mid Transit Agencies  
<http://www.cutr.usf.edu/bussafety/documents/tsyn-13.pdf>
11. **Other**  
National RTAP Resource Catalog  
<http://www.nationalrtap.org/ResourceCatalog/MaterialsReport.asp>  
  
National Transit Library Transit Safety & Security Webpage  
<http://ntl.bts.gov/display.cfm?sub=m7&cat=13>

## 11. **Other, cont.**

Pre-Trip Inspection Procedures

<http://www.ctaa.org/data/safetyinspect.pdf>

Transportation Safety Institute (TSI)

<http://www.tsi.dot.gov/>

National Transit Institute (NTI)

<http://www.ntionline.com/>

CTAA's Safety Review Program

<http://www.ctaa.org/training/safety/>

Kansas RTAP Program

<http://www.kutc.ku.edu/cgiwrap/kutc/rtap/index.php/tech>

Federal Motor Carrier Safety Administration

<http://www.fmcsa.dot.gov/rules-regulations/truck/driver/laws.htm>

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4. City of Winnipeg, MB, Winnipeg Transit Department. *Application for Employment Form*.
5. Colorado Department of Transportation. *Transit Safety and Security Prototype Approach*. 2002.
6. National Committee for Motor Fleet Supervisor Training and Certification, American Trucking Association. *Motor Fleet Safety Supervision Principles and Practices*. 5<sup>th</sup> Edition.
7. North Carolina Department of Transportation. *Model Vehicle Safety Program*.
8. North Carolina Department of Transportation. *North Carolina Selection Criteria*.
9. Pennsylvania Department of Transportation, PennTRAIN. *PennSCORE Operator Training Manual*. 2002.
10. Santa Cruz Metropolitan Transit District, Human Resources Department. *METRO Employment Application Form*. HRD 027a(6/94).
11. Texas Department of Transportation, U.S. Department of Transportation and Federal Highway Administration. *Safety Guidelines for Rural and Small Urban Transit Agencies*. 2003.
12. Tri-County Metropolitan Transportation (TriMet), District of Oregon, Human Resources. *Application for Employment Form*. Rev 09/02.

# **Missouri's Model Transit Bus Safety and Security Program**

## **DRIVER – EMPLOYEE TRAINING**

### **SECTION TWO**

**MISSOURI DEPARTMENT OF TRANSPORTATION  
(MoDOT)  
TRANSIT SECTION**



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## SECTION TWO:

We live in an age of rapid change. New methods, new equipment, tougher competition and increased budget consciousness have made training programs common place in business and industry today. As transit agencies move forward to keep pace with these and other developments, management must recognize training does not “cost”, it saves. A skilled employee is the organization’s greatest asset. In order to develop this employee asset to its fullest, many fleet organizations have developed their own internal training programs. Others take advantage of training programs offered by nationally-recognized organization or other external sources.

Using outside training resources has an economic advantage, in that it is usually less expensive to use outside training than support an in-house program, and outside training is usually updated to the latest regulatory requirements and industry practices. In-house company training does provide the advantage of being “company/work-specific”, but many outside trainers will tailor their programs to meet the particular needs of the agency. Sound training programs and skilled instructors can help to ensure that employees do not become obsolete along with equipment.

It is natural and normal for employees to seek and receive information. Training will take place in any organization. An effective training program will guide this process so that the training is most helpful to the company and to each individual employee. Whether training is for experienced employees who need retraining or the new employee who lacks sufficient skills, there are many sound reasons as to why training needs to be an element of supervising a transit fleet. The listing that follows clearly shows the advantages that are possible for both the employee and the company through an effective training program.

### THE BENEFITS OF TRAINING:

The training program provided by the company offers the following advantages for Management:

Improved Production – when an employee is trained, there is a potential for production to be more consistent within the standards set by the company. This includes all aspects of the business, for when the processes of production are understood, employees have a reasonable expectation of successfully and safely completing assigned tasks.

Lower Costs – training ultimately provides lower operating costs. This includes, but is not limited to, more output per hour, better performance, fewer “quality control” problems, and reduced waste of management’s assets.

Policy Enforcement – for employees to adhere to policies, they must be communicated and understood. This is an element of the training function. When policies have been communicated and understood by employees, management then can reasonably expect adherence to them, or take appropriate action when they are violated.

Less Supervision – employees who are trained can perform their duties with less involvement and intervention by line supervisors. Training entails understanding the process of job duties as well as the reasons for those processes. The training process parallels, and to some degree it replaces, the need for supervision.

Lower Employee Development Cost – by organizing the process of employee development, the company can substantially reduce the cost of this function. Employee development often entails repetitive on-the-job teaching to employees. A training function cuts on-the-job teaching time, which can hinder productivity.

Fewer Misfit Employees – when management takes the time and effort to train employees properly and effectively, employees are better able to learn what is expected and how the duties are to be carried out. This results in more employees doing more effective work.

Reduced Labor Problems – labor problems occur in part from employees who have been frustrated in their attempts to deal with management effectively. Training is a communication process that by its very nature can improve the business climate for employees and the company.

Candidates for Advancement – training creates a pool of qualified workers from which, to the greatest extent possible, the company can draw personnel for more responsible positions. Any fleet can benefit, directly or indirectly, from its personnel advancing upwardly in the organization.

Regulatory Compliance – in any fleet, certain aspects of its operations include duties for which there are prescribed requirements for training. As certain training is required, an organized training effort allows this to occur with maximum effectiveness and minimal disruption to the routine activities of the business.

These advantages of training clearly demonstrate the premise that the training process is one in which every fleet should participate. With this participation there comes better performing, safer, and more satisfied employees. Training adds an enormous dimension to even the smallest fleet, one that ultimately makes the entire fleet supervisory function more effective.

## **TRAINING CONCEPTS:**

New bus operators should routinely receive basic training in vehicle operation, customer service and system knowledge. Experienced operators should also receive periodic refresher training or organizational development training and many operators may need to receive remedial training. With two-thirds of all new hires coming from a non-transit background, entry-level training constitutes a significant concern for all transit organizations. In addition to organizational orientation, transit operators must be taught professional driving skills from the ground up.

## ENTRY-LEVEL TRAINING:

The following subjects should be covered and trainees should demonstrate expertise in:

1. Agency Policies and Procedures should include –
  - ☐ Policy and Procedures Manual
  - ☐ Personnel Policy Manual
  - ☐ Scheduling
  - ☐ Radio Procedures
  - ☐ Office and Paperwork Requirements
2. Federal and State Guidelines and Regulations –
  - ☐ Drug and Alcohol Program
  - ☐ Blood borne Pathogens
  - ☐ ADA Requirements
  - ☐ Other Federal and State Requirements
3. Pre and Post Trip Inspections – Training should be conducted on proper pre and post trip inspections.
4. Vehicle Familiarization – New employees should be given a complete familiarization of the vehicle including engine compartment, all operator controls, emergency equipment and customer safety devices.
5. Basic Operations and Maneuvering – Training should include starting, stopping, left and right turns, and parking.
6. Special Driving Conditions –
  - ☐ Interstate – Proper procedures for entering and exiting Interstate or other limited access highways should be covered.
  - ☐ Intersections – Procedures for safely negotiating intersections of all types should be covered.
  - ☐ Railroad Crossings – Agency vehicles will stop at all railroad crossings, the front door will be opened and both directions will be carefully checked for trains. In the case of multiple tracks, vehicles will not proceed until all tracks can be verified as clear. Special caution will be exercised at unguarded crossings.
7. Backing – Backing should be prohibited unless absolutely necessary. When backing is necessary, it is only to be done with a trained spotter or guide.
8. Bad Weather – New employees should be trained in operating in adverse weather conditions as shown in the Emergency Driving Procedures section.

9. Boarding and Alighting Passengers – Proper procedures for boarding and alighting passengers safely should be covered. This includes stopping, starting, bus stops, special situations and hazardous conditions on steps or outside the vehicle.
10. Defensive Driving Course (DDC) – If possible, operators should complete the National Safety Council's Defensive Driving Course (DDC) prior to beginning his or her driving duties or within six months following employment, and every third year thereafter. The four-hour Defensive Driving Course II (DCII) may be used as the "refresher course" for those operators who have previously completed the eight hour DDC core course.
11. Customer Assistance Training – All operators operating mobility aid lifts, ramps or otherwise assisting disabled persons should receive specialized training and supervised practice on safe and proper techniques prior to offering such assistance. Such operators shall also be prepared to deal with mechanical failures of lifts or other emergencies that may arise. An eight (8) hour training program should be completed.
12. On Road – All trainees shall complete an on the road training program that should cover all aspects of driving duties. Due to varying levels of expertise and experience, the program should be adapted to the training needs of the trainee. After initial training, the new operator should be assigned to an experienced supervisor or operator for continued orientation and observation. Only when the operator is deemed to be fully trained will he or she be permitted to operate a vehicle in regular service.

#### **OPERATORS – ONGOING SUPERVISION AND TRAINING:**

In Service Training – Operators should participate in regular operator safety meetings and training sessions. Suggested training topics include first aid, cardio-pulmonary resuscitation, safe driving practices, weather related driving, emergency procedures and review of state driving laws.

#### **EVALUATION AND SUPERVISION:**

Ride Checks – Management or supervisory staff should ride with and critique each operator once every six (6) months. A written report should be completed and reviewed with the operator. The report should be kept in the operator's file.

Road Observations – Management or supervisory staff should observe the driving skills of each operator from outside the vehicle once every six (6) months.

Motor Vehicle Record Checks – Bureau of Motor Vehicle (BMV) reports, also known as Motor Vehicle Record (MVR) checks, are crucial documents that should be used in the process of determining whether to consider for hire, to hire or retain an operator. The existence of an acceptable BMV record is only one of the criteria used for hire or retention. An unacceptable BMV record stops the hiring or starts the dismissal process.

It is the applicant's or current operator's responsibility to maintain an acceptable driving record in compliance with Agency policy. Only original reports issued within 10 days of Agency request are acceptable (no copies).

### Procedures:

The following procedures should be followed closely:

- a. BMV checks will be required at the following times:
  - i. At the time of application and before hire (applicant's responsibility),
  - ii. Every 6 months (Agency responsibility),
  - iii. At the time of a preventable accident, (agency responsibility)
  - iv. Any other time that the manager has reason to believe that the employee's driving record may have deteriorated. (agency responsibility.)
- b. Current (issued within the last 10 days), original BMV reports (not copies) shall be obtained before the applicant's application is acted upon.
- c. Where required by state law or regulations, authorizations to obtain BMV records shall be obtained from employees. Failure to authorize a check is reasonable cause for dismissal.
- d. Violations that occur on an employee's personal time or in a non-company vehicle are to be considered as part of the overall driving record.
- e. BMV records will be reviewed and approved by Management based upon the criteria listed below, upon receipt.

The following are suggested examples of unacceptable driving record reports:

- ☐ If license has been suspended, the person must have ten (10) years with no subsequent violations.
- ☐ If license has been revoked, the person must have ten (10) years with no subsequent violations.
- ☐ Reckless driving within the past five (5) years.
- ☐ A combination of more than two (2) accidents and/or two (2) moving violations in the past three (3) years. For example, one accident and one moving violation or two (2) moving violations.
- ☐ Persons convicted of Driving under the Influence (DUI)/Driving While Intoxicated (DWI) are not acceptable candidates for driving employment no matter when the conviction.
- ☐ Any combination of violations, unfavorable road observations or accidents that indicate a pattern of unsafe vehicle operation behavior, whether on or off the job.
- ☐ Current employees charged with DUI/DWI will be suspended immediately pending the outcome. If the employee is convicted, this is cause for immediate termination.

**Note:** State sponsored safety courses or DDC courses do not “erase” accidents or moving violations.

- f. Employees are required to notify their manager immediately if they have received moving violations, DWI/DUI citations or have had their license suspended or revoked. Anyone that operates an Agency vehicle with a suspended or revoked license is subject to immediate dismissal. Employees not notifying management of tickets will be subject to disciplinary procedures up to and including dismissal.

#### Safety Meetings –

Safety meetings shall be held not less than quarterly. They should cover a topic germane to the time of year, types of accidents that have occurred in the near term or to reinforce important rules and regulations.

#### Seat belt Usage –

The use of seat belts by operators and passengers is mandatory in all agency vehicles. Passengers with disabilities will also be required to use seat belts and to have their mobility aids secured.

#### Discipline/Recognition –

When an Agency employee (or volunteer) violates work rules/policies or commits an unsafe act, immediate corrective action is required. Safe work rules/policies and driving procedures must be enforced for the protection of the employee (and volunteer), passengers and the public.

### **TRAINING COMPETENCIES AND MEASUREMENT:**

Training competencies should be in place for safe driving practices, policy, procedure, passenger support and system knowledge. Traditional measurement tools (observation checklists, paper and pencil tests and peer assessments) are all effective and should be used when appropriate. Note: Consideration should be given to the increase in computer-based training, simulators and computer testing instruments. Formal performance evaluations should be structured, scheduled, expected and defined. The primary objective of a performance evaluation should be to determine whether operators are performing their jobs safely, serving the customers adequately and following agency rules, policies and procedures that ensure efficiency and cost effectiveness.

Informal performance evaluations can take the form of ad hoc, unscheduled and unexpected. Informal evaluations can be used to gather data on many facets of individual performance. For example, statistics on attendance, punctuality, on-time performance, passenger commendations and complaints, safe driving practices and adherence to policy can be routinely gathered.

### **EMERGENCY DRIVING PROCEDURES:**

An emergency can happen any time. No operator can control weather conditions, unexpected vehicle breakdowns, other operators’ mistakes, or a passengers’ illness.



However, the operator must be prepared for all these possibilities. Mental preparation is not automatic. Each operator should review specific questions that might relate to the types of emergencies that he or she might encounter. Professional operators prepare themselves for the day by finding answers to the following questions:

- ☐ What is the weather forecast?
- ☐ Will the route require driving on dangerous roads?
- ☐ What will traffic be like?
- ☐ Will the vehicle be carrying an unusual number of passengers or different types of passengers than usual?

In addition to information gathering, professional operators need to regularly review how to handle emergencies by reviewing the materials in training programs, learning from their own experiences, and talking to other operators about how they have dealt with various situations. **Remember**, every operator must always wear a seat belt when operating an agency vehicle. This will help you maintain control of the vehicle in an emergency and may prevent the driver from being injured. In an accident, wearing a seat belt increases the probability a driver will be able to respond to the needs of the passengers.

### Accident Causes

One of the types of emergencies an operator must deal with is a traffic accident. What are the most common causes of these accidents? The Interstate Commerce Commission, through a study of accidents, concluded the causes of traffic accidents are as follows:

- ☐ Mechanical defects                      3%
- ☐ Condition of street or highway      12%
- ☐ Human failure or error                85%

Some people might argue that apparently some 15% of traffic accidents are caused by factors beyond the control of the operator. Further studies of accident reports reveal, however, that this is not necessarily true.

Quite a large percentage of accidents ascribed to condition of street or highway are actually caused by failure of operators to adjust their driving to hazardous street or highway conditions. Also, quite a large percentage of accidents ascribed to mechanical defects are actually caused by failure of operators to take into consideration known mechanical defects, or failure to see that proper repairs are made when mechanical defects are discovered.

**Remember**, if an accident results from a mechanical defect that you should have discovered during the pre trip inspection, the accident is preventable and is the operator's fault. Thus, many of today's accident investigators state that 95% to 99% of all traffic accidents are due to human failure or error.

Unless a thorough investigation shows circumstances beyond an operator's control, the following accidents are generally classified as preventable:

- Backing accidents
- Intersection accidents
- Pedestrian accidents
- Rear end collisions
- Traffic lane encroachment accidents
- Accidents resulting from mechanical conditions
- Accidents with parked vehicles
- Collision with stationary objects
- Unattended vehicle accidents
- Accidents blamed on adverse weather conditions
- Passenger activities

Slippery Road Surfaces – It will take longer to stop and it will be harder to turn without skidding when the road is slippery. Operators must drive slower to be able to stop in the same distance as on a dry road. Wet roads can double stopping distance. Reduce speed by about 1/3 (i.e., slow from 55 to 35 mph) on a wet road. On packed snow, reduce speed by 1/2 or more. If the surface is icy, reduce speed to a crawl or discontinue operations until it is safe to drive. Sometimes it is hard to know the road is slippery. Here are some signs:

Shaded Areas – Shady areas of the road will remain icy and slippery long after open areas have melted.

Bridges – When the temperature drops, bridges will freeze before the road will. Be especially careful when the temperature is close to 32 degrees F.

Melting Ice – Slight melting will make ice wet. Wet ice is much more slippery than ice that is not wet.

Black Ice – Black ice is a thin layer that is clear enough that you can see the road underneath it. It makes the road look wet. Any time the temperature is below freezing and the road looks wet, watch out for black ice.

Vehicle Icing – An easy way to check for ice is to open the window and feel the front of the mirror, mirror support or antenna. If they are icy, the road surface is probably starting to ice up.

Just After Rain Begins – Right after it starts to rain, the water mixes with oil left on the road by vehicles. This makes the road very slippery. If the rain continues, it will wash the oil away.

Hydroplaning – In some weather conditions, water or slush collect on the road. When this happens, the vehicle can hydroplane. The tires lose their contact with the road and have little or no traction. It may not be possible to steer or brake. Control can be regained by releasing the accelerator. This will slow the vehicle and let the wheels turn freely. If the vehicle is hydroplaning, do not use the brakes to slow down.

It does not take a lot of water to cause hydroplaning. Hydroplaning can occur at speeds as low as 30 mph if there is a lot of water. Hydroplaning is more likely if tire pressure is low or the tread is worn. The grooves in a tire carry away the water; if they are not deep, they cannot work well.

Driving At Night – Operators are at greater risk when driving at night. In the winter it gets light later and gets dark early. Operators cannot see hazards as soon as in daylight, so they have less time to respond. Operators caught by surprise are less able to avoid a crash.

Operator Vision – Operators cannot see as sharply at night or in dim light. Also, the eyes need time to adjust to seeing in dim light. Slow down.

Glare – Operators can be blinded for a short time by bright lights. It takes time to recover from this blindness. All operators face these risks when driving at night. The risks are greater for some operators whose visual recovery time is higher than others. Visual recovery time is the time it takes an operator's night vision to return to normal after being blinded by bright lights. Listed below are some specific causes that make visual recovery time higher for some individuals than for others:

- ☐ Age, recovery time increases as people get older
- ☐ High blood pressure
- ☐ Diabetes
- ☐ Other medical conditions

These operators will need to take special care when driving at night. Older operators are especially bothered by glare. Even two seconds of glare blindness can be dangerous. A vehicle doing 55 mph will travel more than half the distance of a football field during that time. Drivers should not look directly at bright lights when driving. Look at the right side of the road or the sidelines of the road when an approaching vehicle has very bright lights.

Other Operators – There is an increased number of tired and intoxicated operators on the road at night, so be on the alert for them and be prepared to respond.

Poor Lighting – In the daytime there is usually enough light to see well. This is not true at night. Some areas may have bright streetlights, but many areas will have poor lighting. On most rural roads, operators will probably have to depend entirely on their headlights. Less light means hazards are not seen as plainly or as quickly as in the daytime. Road users who do not have lights are hard to see. There are many accidents that involve pedestrians, joggers, bicyclists, and animals.

Even when there are lights, the road scene can be confusing. Traffic signs and hazards can be hard to see against a background of signs, shop windows, and other lights. Drive slower when lighting is poor or confusing.

Headlights – At night, vehicle headlights will sometimes be the main source of light for the operator to see and be seen. Even with quality headlights, vision can be much more limited than in daytime. Vehicle low beams typically illuminate about 250 feet and high beams about 350 to 400 feet. Speed must be reduced to keep the stopping distance within the sight distance. This means going slow enough to be able to stop within the range of the headlights. Otherwise, by the time a hazard is identified, there may not be adequate time to stop. When using the high beams, make sure to dim them within 500 feet of another vehicle so they will not cause glare for other operators. Night driving can be more dangerous if headlights are not properly maintained. Dirty headlights may give only half the light they should, so keep them clean. If the headlights fail the operator should:

- ☐ Try both low and high beams (one may work). Pull safely off the roadway and inform the passengers. Call the dispatcher for further instructions.

Turn Signals and Brake Lights – At night the turn signals and brake lights are even more important for communicating the operator's intentions to other drivers. Turn signals and brake lights should be cleaned and maintained properly at all times.

Other Lights – To be seen easily, the reflectors, clearance lights and taillights must be clean and working properly.

Windshield and Mirrors – It is more important at night than in the daytime to have clean windshields and mirrors. Bright light at night can cause dirt on the windshield and mirrors to create a glare, blocking the operator's view.

Driving Through Water – Never drive through moving or standing water.

Winter Driving – During pre trip inspections pay extra attention to the following:

- ☐ Coolant level/antifreeze amount
- ☐ Defrosting/heating equipment
- ☐ Wipers/washers
- ☐ Tires/chains
- ☐ Lights/reflectors
- ☐ Windows/mirrors
- ☐ Handrails and steps
- ☐ Exhaust system

Special Techniques for Driving on Ice and Snow – When first starting, get the feel of the road. Do not hurry.

Glare – Snow produces a glare that can adversely affect vision. The sun, shining on the snow, makes the problem worse. Sunglasses should be used year-round, when appropriate. With moisture on the ground (in the form of snow) foggy conditions may occur frequently.

Fog, coupled with slippery conditions, requires slowing down, as well as more alertness and attention to maintaining a safe following distance. In fog, driving with lights on low beam improves your visibility and vision. The operator should watch the right edge of the roadway to insure the vehicle is positioned correctly.

Braking – Know how and when to brake. When possible, use the braking power of the engine by downshifting to a lower gear rather than by using the brakes. When braking is necessary, do not jam on the brakes. For older vehicles tap and release them in a pumping motion. Newer vehicles have ABS brakes and require steady pressure rather than pumping. Each operator should know which type of brakes the vehicle has. Do not brake in the middle of a curve. If the vehicle begins to skid, immediately release brake pressure, regain steering (directional) control then re-apply brakes to slow.

Skids – Do not panic. Do not over steer. Do not jam on the brakes and do not accelerate. For rear drive vehicles, turn the steering wheel in the direction of the skid, e.g., if the rear-end of the vehicle is skidding toward the right, turn the steering wheel to right. When steering control is regained, braking may be resumed by applying light brake pressure.

Traction – To gain traction and avoid skids, start out slowly if parked on a slippery surface. If the wheels start spinning, release accelerator pressure until traction returns. Before going up a hill, increase speed within reason to help build momentum. Before going down a hill, especially a steep one, slow by shifting into a lower gear. Brakes should only be used with extreme caution when going down a slippery hill. Remember the points discussed earlier in this chapter under “slippery road surfaces”.

Hills – When approaching, either descending or ascending, other vehicles should be observed on the hill and how they are reacting to conditions. The operator should maintain a greater following distance at all times. If other cars begin to slide, spin out or have to back down the hill, the operator should wait for enough room to maneuver before going up the hill. If an alternative route is available it should be used. Anytime an operator observes a hill is dangerous and should be avoided, the dispatcher should be contacted so that other vehicles can be rerouted.

Stuck – When stuck, the operator should exercise judgment as to what methods are appropriate and available to extricate the vehicle. The action taken depends on how badly the vehicle is stuck. Avoid spinning the wheels since this will aggravate the problem and could cause serious equipment damage. An operator should be realistic about his or her physical abilities when determining the appropriate extrication method.

The operator should immediately contact the dispatcher if stuck and advise them that help is required. Until help arrives, set out flares or triangles to alert other traffic. Do not run the engine without checking to be sure the exhaust pipe is clear of snow, or other obstructions. If the snow is deep, shovel the snow from in front and behind the wheels (both front and rear wheels). Also, shovel out as much snow from under the vehicle as possible. If available, spread salt or sand in front and behind the driving wheels. Do not let anyone stand behind the rear wheels.

When using any sort of traction material or if the wheels dig into the dirt or gravel, individuals behind the vehicle may be injured by rocks or objects thrown rearward by the spinning wheels. If possible, try to keep the front wheels pointed straight ahead until the vehicle is moving. The rolling resistance of the front wheels is lessened when they are not trying to move sideways.

If the wheels continue spinning but the vehicle does not move, stop the process and let the tires cool. Tires heated from spinning will simply dig deeper into ice and snow. If nothing works, try to rock the vehicle out of the rut by alternatively shifting from reverse to drive. The vehicle manual should first be reviewed to ensure that this procedure can be used, especially on vehicles with automatic transmissions.

Snow and Ice Removal – As winter approaches, the vehicle should be supplied with items needed to combat snow or ice. These include: flashlight, ice scraper, brush to remove snow from vehicle, extra fuses for vehicle electrical systems, a rag to clean lights and windshield, work gloves, small shovel and battery booster cables.

Visibility is always critical. But, in cold wintry weather many motorists take unwarranted chances by cleaning just a portion of the windshield and rear window when they have been iced over or by brushing snow only from the windshield and rear window. Such laziness invites disaster since they may be unable to see other vehicles clearly.

**Snow Removal:** If the vehicle is covered with snow, it is essential that all snow be removed from hood, glass surfaces, roof and lights before driving. When driving, vehicle movement and stops can result in snow sliding from the roof onto the windshield or rear window, obscuring visibility. Wind, and the mere movement of the vehicle, can have the same effect.

Ice scrapers should be used with care. When edges become burred or chipped, the scraper should be replaced. Use of a damaged scraper or trying to dig out encrusted ice with the point of the scraper can result in scratches to the glass and may even cause the glass to break because its strength has been weakened.

Recessed Wipers – If a vehicle has windshield wipers that disappear into a recess below the windshield when not in use, care should be taken to keep such recesses free of obstructions during snowy or cold weather. If the vehicle is outside during a snowstorm, such recesses must be cleared of snow and ice before wiper use.

While driving in a snowstorm, it may be necessary to stop periodically and clear accumulated snow and ice from such recesses. In cold weather, even if there has not been snow, it is a good idea to check wiper blades before driving to make sure they operate properly. Should wiper arms or wipers be frozen fast, the wiper motors could be seriously damaged, a fuse may blow, or bits of the blade rubber may be torn loose making the wiper ineffective. Remember: Most things break more easily in extreme cold.



### Some Additional Hints and Precautions –

- Keeping tires inflated properly will improve traction.
- Observe oncoming traffic and be prepared to take defensive action in the event on coming vehicle(s) begin to skid or loose control.
- Always maintain at least a half-full fuel tank.
- Driving in very hot weather: During pre trip inspections, pay special attention to: tires, engine oil, engine coolant, engine belts and hoses. Tar in the road pavement frequently rises to the surface in very hot weather. Spots where the tar “bleeds” to the surface are very slippery.

### Vehicle Breakdowns and Unavoidable Stops –

Should a vehicle act erratically or a breakdown is suspected, or occurs, safely guide the unit off the road onto the right shoulder or into a parking area. Immediately engage emergency flashers and position emergency reflectors. Notify the dispatcher. Indicate whether there are passengers on board, give a brief description of the problem, and vehicle location. If necessary, use landmarks to clarify the location of vehicle. The dispatcher will dispatch another vehicle to the designated location and arrange for towing. The operator must ensure passenger safety at all times.

Passengers may be moved into an appropriate public building if the disabled vehicle is in a high accident area or if cold or hot weather endangers the passengers. Removing passengers is not favored unless they will be safer than remaining in the vehicle.

Sometimes, it becomes imperative to remove the vehicle from the flow of traffic. Passenger illness, such as vomiting, vision impaired by sleet, snow, rain, or the unwanted presence of a bee or other insects, are all valid reasons for temporarily pulling clear of the road. Use directional signals and steer off the street exiting from the right lane onto the right shoulder or parking area. Engage hazard lights immediately.

***Do not leave passengers unattended, unless it is an extreme emergency.***

The operator’s first responsibility is that he or she and the passengers are SAFE. If it is extremely cold, an appropriate shelter must be found. If the passengers must remain on the vehicle, the vehicle should not be run static for more than ten (10) minutes every hour. When the vehicle is running, windows should be cracked open. Also, ensure the tailpipe is clear. This will prevent carbon monoxide poisoning. Carbon monoxide is a non irritating, colorless, tasteless, and odorless gas. Overexposure is extremely dangerous and can occur without the victims realizing it.

### Vehicle Fire/Evacuation –

1. At first indication of fire on the vehicle, proceed as follows: PULL TO A SAFE LOCATION, STOP the vehicle immediately, SHUT OFF ENGINE, open all doors, contact the dispatcher to request emergency services assistance and evacuate the passengers.



2. Evacuate passengers in an orderly manner. Assist disabled passengers first. Safety of all passengers is the first consideration.
3. If possible, use the fire extinguisher located on the vehicle. If the fire is extinguished, notify the dispatcher for further instructions.
4. If fire cannot be controlled by fire extinguisher, notify the dispatcher immediately giving vehicle location and fire location on vehicle. Do not re-board vehicle. Await assistance and tend to passenger needs. Another vehicle should be sent to pick up the passengers as soon as possible.

#### Hold up/Robbery –

1. Operators are not to carry any weapon while on duty, nor should they argue with or resist a bandit in case of a holdup. Instead, keep cool and notice the description of the bandit as to color, approximate size and weight, and color of clothing. If armed, notice what is used as weapon.
2. Notify the dispatcher immediately after the holdup and request that the police are called. Do not state the amount lost to anyone other than the police or Management. Names of witnesses should be obtained and a full report written by the operator.

#### Natural Disasters – Tornado –

If a tornado warning is sounded or broadcast, employees will immediately report to the designated shelter. If operators are in vehicles, operators and passengers should exit the vehicle and seek shelter in a ditch, in the basement of a nearby building or in the safest possible place given the situation.

Continue monitoring local weather reports. Management will determine when personnel and vehicles can return to a normal operating mode. If vehicles have sustained any damage from wind or wind blown debris, they should be inspected and repaired by maintenance staff before operation resumes.

Flood Procedures – Vehicle – The Manager or dispatcher will inform operators that emergency flood preparedness measures are to be taken. Management will determine when and if transit services need to end. Service to areas susceptible to flood may be discontinued. Vehicles that are parked in areas that could flood should be moved to high ground if possible.

In case of flash flood warnings, operators on the road should avoid known flood areas. Never attempt to cross roads or bridges that are flooded. If the vehicle stalls because of high water, it is generally safer to stay in the vehicle and radio for emergency help rather than trying to walk through fast moving water.

#### Passenger Safety – General Guidelines –

Passengers must obey the following rules that apply to vehicle travel.

- ☐ The operator is in charge of the vehicle.
- ☐ Passengers must remain seated and seat belted at all times and until the vehicle comes to a complete stop.
- ☐ Passengers are not allowed to have any part of their body out the windows of the vehicle.
- ☐ No smoking, drinking or eating is permitted on the vehicles.
- ☐ Passengers must keep noise at a level that will allow the operator to hear traffic and requests for assistance.
- ☐ No radios are to be played on the vehicles without earphones.
- ☐ Passengers are not to disturb the operator.
- ☐ Passengers are not permitted to yell or throw things out of the windows.
- ☐ Passengers should help keep the vehicle clean.
- ☐ Passengers may not use profanity or language that is upsetting and/or disruptive to other passengers or agency staff.

Seat-belts – Passengers will be required to properly use seat belts at all times in all vehicles so equipped.

Child Safety Seats – Children, as required by State law, will be placed in child safety seats. The Child Safety seat law requires that children who are either or both:

1. less than 4 years old,
2. less than 40 pounds.

must be in an approved, properly installed child safety seat (infant seat, convertible seat or booster seat) while being transported.

Special needs children must also be in an appropriate child restraint device. Examples of children who must be in an approved, properly installed child safety seat by law are:

1. A child who is 5 years old and weighs 38 pounds.
2. Booster seats are required for children under 4'9" tall, less than 80 pounds and less than 8 years of age.

The operator is responsible to make sure that each seat is properly installed in the vehicle and that the child is properly restrained to minimize the possibility of injury before transporting the child. It must be remembered that there are a wide variety of approved child seats on the market. Some may also be installed in different ways depending upon the age and weight of the child. For those children that are handicapped or medically fragile, management must be consulted for proper procedures for safely transporting them.

The following general rules apply to most child safety seats:

1. Read and follow the manufacturer's instructions for the child safety seat.
2. Small children cannot sit in the front seat, especially if the vehicle is equipped with air bags.
3. The seat must be secured to the vehicle tightly.
4. The harness straps should be snug and in the right slots for the age and weight of the child.
5. Inspect the label for the date it was made. Seats over 6 years old may not be acceptable. Older child safety seats will be referred to Management.
6. Damaged seats or seats that have been in an accident will not be used. Seats that are cracked or missing pieces are not acceptable.
7. Child safety seats will be approved for the age and weight of the child.
8. Children less than 1 year old and up to 22 pounds will generally be placed in rear facing seats.
9. Operators who have any questions on the appropriate use of child safety seats will contact their manager immediately.

Children Between 40 and 80 pounds – These children are required to be restrained by state law. However, standard seat belts are normally not adequate to protect them in an accident. Observe the following guidelines:

1. Adult lap and shoulder belt systems will not fit children that are shorter than 4'9" tall and weight less than 80 pounds – use booster seats.
2. Lap belts should fit low over the child's upper thighs. The shoulder belt should stay on the shoulder and be close to the child's chest. If the shoulder belt fits so poorly that it goes across the neck or face, a booster seat is necessary. Never put a shoulder belt under the child's arm or behind the back.

Mobility Device Securement and Passenger Restraint Systems – All mobility devices will be properly secured to the vehicle using the installed securement systems. Wheelchair passengers will be required to wear a mobility aid seat belt and be properly restrained using the vehicle restraint system. Those using mobility devices may be requested to move to a seat and use the vehicle seat belt system.

Difficult Passengers – In order to ensure the safety of passengers and staff, any passenger who is threatening or affecting the safe operation of a vehicle or the passengers on the vehicle will be dealt with in the following manner:

- The threatening passenger will be advised to stop their behavior immediately. If not done, the operator will advise the dispatcher of the circumstances involving the threatening passenger. The dispatcher may request that a Police Agency serving the area in which the vehicle is located be dispatched to that location immediately.
- If there is a risk of harm to anyone on the vehicle, the operator will immediately pull the vehicle over to a safe location, have passengers exit the vehicle and await the arrival of a Law Enforcement Official. Notify the dispatcher of the risk of harm.

- The dispatcher shall immediately dial 9 1 1.
- The operator will relay any information as to the demeanor of the passenger to the dispatcher who will provide this information to the Law Enforcement Officer who is responding.
- The operator will not engage in any physical confrontation with the threatening passenger unless there is a clear and present danger to either themselves or another passenger on the vehicle.
- Upon arrival of a Law Enforcement Officer, the operator will relay information to that officer about the threatening passenger and await final disposition. All information will be given to the dispatcher.

Medical Conditions – Upon becoming aware that a Medical Condition exists on or around a vehicle, the operator shall immediately notify the dispatcher there is an emergency condition and request assistance as needed. If an ambulance is needed, the dispatcher shall maintain constant communications with the operator and call 9 1 1. The operator will relay any information as to the condition of the passenger to the dispatcher who will provide instructions to the operator and will make the necessary notification to have an ambulance respond to that operator's location. If trained, the operator may perform first aid and CPR until the ambulance service arrives.

The operator, upon ambulance arrival, will ascertain which ambulance company has the passenger and their destination. This information will be given to the dispatcher.

#### First Aid –

A Primary First Aid class shall be given to all employees once annually. The course for Primary First Aid will be given by an American Red Cross certified instructor. It will be provided to ensure that in the event of a medical situation on board, the operator will have the basic tools to react in the proper manner.

Emergency first aid is to be given as required to passengers or any other individual who may require assistance before emergency responders arrive on the scene. The procedure to follow if a situation develops on board is as follows:

- ☐ Pull off the road into a safe area, stop the vehicle, turn on emergency flashers and turn engine off,
- ☐ Determine the problem,
- ☐ Contact the Dispatcher and inform him or her of the situation,
- ☐ Follow the instructions from the dispatcher,
- ☐ Give the exact location of the vehicle,
- ☐ Perform first aid procedures,
- ☐ Remain calm until help arrives,
- ☐ Assist, as required, the first emergency responders,

- ❑ After the emergency has been dealt with, contact dispatch and follow instructions.

It is the intention of this procedure to give the operator the information necessary to handle the situation that has developed in the most professional, humane manner possible until help arrives on the scene.

#### Blood borne Pathogens/Infection Control –

If a bio-hazardous spill occurs as part of a vehicular accident, then first aid for injured passengers should be the first priority, along with notification of appropriate medical assistance personnel. Bio-hazardous spills may also occur from an on-vehicle injury without a vehicular accident. Again, first aid provision comes first. Additionally, a bio-hazardous spill may occur as a result of vomiting or loss of bladder control, in which case, first aid is normally not necessary. However, anytime the operator does administer first aid, latex gloves and other personal protective equipment should be used. Contaminated items should be carefully placed in the designated bio-hazard disposal bag. Operators should use care and caution when handling and disposing all trash.

Following first aid administration, where necessary, the vehicle must be cleared of the spill. The following steps should be followed:

1. Put on a new pair of latex gloves;
2. Contain the spill as best as possible with paper towels and/or solidifying powder;
3. Clean up spill with paper towels, or if a solidifying powder is used, use a dustpan and brush;
4. Clean area of spill with the cleaning or decontamination solution and wipe with paper towels and/or fresh solidifying powder;
5. Place all items used to clean spill into bio-hazardous waste disposal bag;
6. If the exterior of the disposal bag has not been contaminated by the spill, then remove both Latex gloves and place them in the disposal bag, and seal the bag;
7. If the exterior of the bio-hazardous waste disposal bag has been contaminated by the spill, seal the bag and place inside another bag;
8. Upon return to home base, place the plastic bag(s) into the designated disposal container; and
9. Management will have it disposed of by an appropriate medical hazard disposal organization for proper ultimate destruction.

**INCENTIVE PROGRAMS:**

Safety Incentive Programs are based upon positive reinforcement of good driving skills.

Key elements include –

- ☐ Standards must be set high, yet attainable, so as not to reward mediocre behavior.
- ☐ The incentive must be earned.
- ☐ The incentive must have some personal value, whether it is an elevation in status, physical reward or both.
- ☐ The award should be based upon performance over a reasonable period of time. Not too long or short. For safe operator awards, an annual interval is appropriate. For other incentive programs such as contests, three or six months are appropriate.
- ☐ For operators, individual performance, rather than group performance should be used as incentive criteria.
- ☐ It is better for many participants to receive small awards rather than one person to receive a big reward.
- ☐ The presentation of an award should be preceded by a celebration to emphasize the importance.

*For an example of a Safety Incentive and Award Program, see Appendix B.*

## APPENDIX – DRIVER – EMPLOYEE TRAINING

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## APPENDIX A – ESTABLISHMENT OF A TRAINING PROGRAM

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### **ESTABLISHMENT OF A TRAINING PROGRAM:**

There are four criteria the fleet manager may apply to make a sound judgment toward training programs: current company needs, trainee needs, total costs involved, and identification of appropriate instructors.

The first step is to understand and define where training needs in the organization truly exist. While training drivers and mechanics is productive, it may be more productive to train supervisors to understand their role as supervisors, their subordinates' duties, and how to maximize results. Who needs training most of all? What priorities can be set to meet performance standards? Is performance uniform within a department or does it vary up or down? There may not be a need for skill or method training as much as there is a need for supervisory evaluation. Without a thorough analysis of what is occurring in the organization; and why, training can have inconsistent results. The wrong person could be trained in the wrong things at the wrong time. Attention must be paid to productivity and measurement of the results of training efforts, in order to gain acceptance and maintain credibility.

### **THE COST OF TRAINING:**

A sound fleet training program includes an analysis of the cost of training, particularly the cost of conducting training as compared to the potential for cost savings. This analysis of cost versus benefit, in the truest sense, determines the scope of the training that will be able to be conducted. When is enough training enough? When does the "Law of Diminishing Returns" come into play? There are no simple answers, but a manager must be conscious of the benefits of a program being equal to or greater than the total costs to establish and continue the program. Some of the costs to be considered include:

- ☐ Trainer time, both for instruction and preparation;
- ☐ Student time, if during working hours or off-hours;
- ☐ Equipment, audio-visual tools and supplies;
- ☐ Meeting space, a cost of overhead for space of room rental;
- ☐ Production delay, an analysis of the effect of employee time away from the job:

### **RECORD KEEPING:**

Many fleets have found the benefits of maintaining a record of employee training sessions held to far outweigh the clerical tasks associated with creating such records. Attendance records are essential when training sessions are held in order to comply with regulatory obligations. In certain cases, a record of training is required by Federal regulations (e.g., training on use of personal protective equipment when handling

hazardous materials). Recordkeeping for training generally is derived from one of these sources:

Receipts for Materials – here the individual employee acknowledges the receipt of a particular book, guideline, policy or instruction manual. The receipt is typically filed in the employee's personnel file. This receipt reduces any conflict or disagreement on whether a particular employee was ever asked to become familiar with a particular facet of the company policy or procedure.

Attendance Roster – this is a record of training sessions held by the company, with a list of attending employees. These records are frequently kept in two manners – a master roster by type of session, or date of session, and by individual notation in a personnel file of each employee attending. Often an employee's personnel file includes a register of each training session attended by that individual. Attendance records should be supplemented by a synopsis of the material covered in the training session.

Certificate of Completion – this is a printed certificate, which includes the name of the training organization and/or its logo, the title and date of the course, name of the participant, statement of successful completion, listing of continuing education units or other credits awarded (if applicable), and the signatures of the trainer and/or key management personnel.

In many instances, Federal regulations require evidence of training.

#### **QUALIFICATIONS OF A TRAINER:**

There are numerous qualifications to be considered when the transit organization is seeking personnel to do training. The advantages of using a person from within the organization must be measured against the advantages of hiring someone from an outside source to do the training. The balancing to be done here must, however, include an evaluation of the availability of personnel within the organization who are technically proficient as well as effective as instructors. Many companies feel the best trainers come from within their own organizations. The primary reason for this is the trainer is familiar with the organization, knows company policy, and understands the operating procedures.

Regardless of whether the trainer is an employee or is to be selected from an external source, there are some common denominators to consider:

Experience: The trainer should be knowledgeable on the subject matter and have sufficient time to secure a quality background on the practical operations of the company.

Maturity: The individual should have the maturity or ability to gain the respect of other employees.

Pleasing personality: The trainer should be able to get along with others in a friendly yet business-like manner.

Ability to instruct others: The trainer must have the ability to communicate knowledge to others in a manner in which trainees are willing to accept.

Dependability: Since trainers spend a great part of the time away from direct supervision, they must be able to plan and carry out the training schedule in an efficient manner.

Personal: A well-qualified trainer may fail if the new training job causes a disruption of personal needs. When the job requires the trainer to be away from home several days at a time, it is important that the individual adjust personal needs to the new venture.

Loyalty: The trainer must be loyal to the company and be able to respond to questions from other employees regarding company policy, as well as the reasons such policies exist. The individual must also be sincere in dealing with employees and maintaining their confidence.

Education: Trainers should have a sincere interest in attending educational programs that professionally develop and refresh their ability to train and communicate with other employees.

Interest in people: An essential need is the sincere interest in working with and helping people. The trainer must know how to motivate other employees to do a better job.

Emotional stability: A basic requirement for the trainer is an ability to exercise self control under normal and unusual conditions.

Personal appearance: Trainer should present a good personal appearance by dressing neatly. This sets an example for other employees to follow.

Attitude: A positive attitude is of the utmost importance. The trainer's outlook toward the company, equipment, operating procedures, training methods, and personnel within the company will be reflected by those trained.

Safety conscious: A trainer shows an understanding of the importance of safety in a motor fleet and is able to teach by example. The trainer must be able to show good judgment based upon reason and common sense.

## **TRAINING AS A PROCESS:**

The trainer's preparation begins by asking the three basic questions about teaching. They are: Where am I going? How shall I get there? How will I know when I've arrived? If the trainer can answer these questions every time, in every setting, with every lesson, then that person has truly arrived as a trainer.

Where am I going? Instruction or training is conducted for the purpose of change. The hope is that through the instruction session the trainees will in some manner be different than they were before the instruction. This consists of a goal or objective that as a result of the training efforts the trainee will: (a) know more than known before; (b) understand something not understood; or (c) develop a skill that was not developed

before. The identification of exactly what change is desired is a foundation of the training process.

How shall I get there? What means is this desired change going to be effected? The process of getting the trainee from whatever state the individual is currently in to the desired state of change is one that needs to be managed. Planning for the change to take place entails selecting the proper procedures, content, and methods that are relevant to the stated goals.

How will I know I have arrived? The ability to recognize success or failure of a training session is essential for good training. Evaluation should be based upon the trainee's performance after attending a session. As measurements are made, consideration should be given not only to whether the training is complete, but also to the why and how of the success or failure of the training effort.

### **TEACHING:**

There are several steps to take in order to teach effectively. One of the major steps to success is in the preparation for the teaching session. There are three phases of preparation to consider: preparing the instructor, preparing the environment, and preparing the learner. Each of these is essential to the learning process and all must be accomplished if the training session is to be successful.

The employees who participate in company sponsored programs are adults and need to be treated as such. These individuals do have some work experience, may be raising a family, and are interested in self improvement and advancement. Some good advice to keep in mind when training employees (or working with any adult group) is:

- ☐ Adults must want to learn.
- ☐ Adults can be motivated to learn if they perceive an advantage from learning.
- ☐ Adults must perceive a definite need for learning.
- ☐ Adults benefit most from active participation in the teaching-learning process.
- ☐ Adults respond best in an informal atmosphere.
- ☐ Adults progress by solving realistic problems.
- ☐ Adults maintain interest by means of a variety of methods.
- ☐ Adults require reinforcement at each major step.
- ☐ Adults require feedback at each major step.
- ☐ Adults must have a clear understanding of what is expected of them.
- ☐ Adults should be permitted to practice new skills without threat.

It is important that a trainer prepare the learner for the session through proper words, attitudes, and mannerisms. The trainer must demonstrate an interest in the learner. This can be done by really listening and responding to each individual. A well organized, efficient, and enthusiastic instructor is capable of influencing each of the trainees to become enthusiastically involved in their own learning experience.

The instructor can provide an opportunity for the trainees to get to know one another. It is best to allow them to participate in setting some of their own personal goals. This can involve some sort of activity such as small groups or discussion periods where the trainee lists goals, steps, and other comments that generally contribute to the learning experience. When the instruction is on a one-to-one basis, such as in-vehicle training, a friendly but businesslike approach usually works best. Schedules, once set, should be adhered to. If the session is important, it has to be organized to reflect its importance. If it is not important, then it simply should not be held.

Although individuals are different in many ways, there are some safe assumptions to be made about the concerns of a learner. These concerns include: (a) the chances for successful accomplishment; (b) the influence of the other trainees; and (c) how much influence they will have on the outcome of the training. The effective instructor considers these concerns when designing a program of instruction.

### **BARRIERS TO TRAINING:**

Training is a process that has communication at its heart. For training to take place, communication must take place. So essential is this process to any fleet organization that a chapter of this manual has been set aside for discussion of the communication process, and be aware of the barriers that can exist between teacher and learner.

These barriers can include:

- ☐ The rate of speaking; too fast or too slow
- ☐ Tone and volume of voice
- ☐ Learner attitudes toward learning
- ☐ Incomplete uses of the learner's senses

Learners must be able to retain what they are taught. If they do not retain the information, then in essence, no learning has truly taken place. To be more effective in getting the message through, consider these recommendations:

- ☐ Analyze each situation and plan communications.
- ☐ Anticipate the effects of the messages.
- ☐ Provide feedback.
- ☐ Eliminate distractions.
- ☐ Attempt to reinforce and connect the information.
- ☐ Correct and adjust the message during communications.
- ☐ Develop a teaching style that works for you.
- ☐ Encourage listeners to be active.

Studies have indicated the ability of learners to retain information is 10 percent of what they read, 20 percent of what they hear, 30 percent of what they see, 50 percent of a combination of sight and hearing, 70 percent of what they say as they talk, and 90 percent of what they say from experience.

The challenge to the instructor is to always make an effort to be as “concrete” as possible with instruction. Theoretical approaches are difficult at best and tend to cause a lack of student interest.

## **PREPARATION:**

Several steps can be taken to be effective in teaching. The first step to consider for success is preparation. Three separate areas of preparation should be considered; preparing the instructor; preparing the environment; preparing the learner. All of these are important in the learning process, and the successful trainer must master all of them.

### Preparation for the Instructor:

The instructor’s personal preparation begins with a thorough understanding of the overall training goal or objective for the training session. This can be stated as an objective for the session and should be stated in terms of what the trainee should know or be able to do as a result of training. This objective must be attainable and realistic, as well as accepted by the student or the training will be wasted. With the objective clearly stated, the instructor must then prepare the means for the learning experience to take place. This includes creating a lesson plan, which is simply an agenda of things to say or do, in a particular sequence. A method of teaching should be selected and necessary training aids developed. When all the materials have been gathered, organized and checked against the objectives, the instructor is prepared to teach. What must follow is a concern for the other aspects of preparation and the placing into motion of the entire training plan.

### Preparation of the Environment:

This includes physical requirements such as adequate lighting, heat, ventilation, training aids, seating arrangements, work space, and tools. These can be checked quickly and usually present no problem. Some consideration should be given to classroom or teaching area arrangements that allow the students to learn most effectively. Trainees need to participate and interact with other students as well as the instructor. In a classroom session, efforts should be made to avoid the traditional row after row classroom set-up. A well organized and comfortable learning environment will indicate efficiency, help put the learner at ease, and reduce any apprehensions about the value of the learning experience. Of great concern to any learning environment is isolation. Few things disrupt a session more than to be interrupted even once during the presentation. The instructor should close the classroom door, and make efforts to see to it that once closed, it remains closed.

### Preparation of the Learner:

In order to have learning take place the student must want to learn. The responsibility for this willingness to learn is one that, in the final analysis, must belong to the instructor. The instructor then must somehow make the learner want to learn. This is a motivational process and can be accomplished in many ways. The essential element is that in any training session, the preparation for the learner does take place.

How does an instructor make the learner want to learn? Nearly every method we can use to generate this attitude has as its basis the fact that the student can see a definite benefit to learn. An easier way of doing something, perhaps a safer way, the promise of future satisfaction, or even a potential job promotion are some of the benefits learners can see and understand. Even the most basic of reasons, continued employment, is occasionally used as a means to have the learner want to learn.

## **PRESENTATION:**

Presentation is the delivery phase of the training process. The presentation is typically divided into three phases, the introduction, the body, and the summary. Each phase has its own role to play in the teaching, and each is essential. It is important to have feedback during each phase to determine its effectiveness. The introduction sets the learner's mind for receiving the subject matter of the session. A good introduction is able to create interest, get the attention of the class, provide a transition from previous lessons and indicate the objective of the lesson. The introduction starts the process of active mental participation of the students. The success of the teaching process depends upon the thoroughness with which the preparation of the student's mind is carried out. The process of mental participation can be started by applying one or more of the following techniques:

- ☐ Relate the lesson to some earlier experience or training of the student.
- ☐ Review briefly the material presented during the preceding lesson or lessons.
- ☐ Lead the students to form in their minds certain "stepping stones" between what they already know and the new materials to be presented.
- ☐ Perform a short demonstration to attract and hold attention, and to provide the "kick off" for the new lesson.
- ☐ Relate a personal experience that would provide a background for the lesson. This procedure, however, must not be overdone – it might become a "boomerang".
- ☐ Tell a humorous story. Humor is very effective in getting the attention of a class of students. The humor, however, must direct attention to the topic being presented.
- ☐ Ask a thought-provoking question that will arouse student's interest.
- ☐ Create a feeling of need for the lesson material by relating it to the present or future needs of the members of the class.
- ☐ The body is the "heart" of the presentation stage of the instructional process. It is here that the lesson is fully developed. Its purpose is to make new ideas available to the students, to develop ideas from the known to the unknown and from the simple to the complex. Here the instructor tells, shows, and/or discusses. The instructor employs all of the skills of teaching available to get the message through and create effective learning.



The summary is the final phase of the presentation stage. It is the phase that is too often omitted by the instructor. The summary gives the members of the class a feeling of having accomplished the goal set up in the introduction. The instructor reviews the key points of the lesson and states any conclusions. The summary should be brief, appropriate, and forceful. A long review is boring and usually fails to hold the student's attention. No rigid rules can be established for the form of the summary, however:

- ☐ The instructor may simply review the key points in numerical order.
- ☐ The students may be called upon to review the key points.
- ☐ There may be a short (three-minute) oral or written quiz.
- ☐ The summary may be done with a visual aid – a chart, a poster, a slide film, or a short movie.
- ☐ The summary should include some method of demonstrating that learning was accomplished.

### **THE MAJOR STEPS IN PLANNING YOUR PRESENTATION:**

1. Establish an objective. State specifically what the student should know or be able to do as a result of the instruction. Limit the topic – what determines this? – Time, student experience, etc.
2. Research the topic thoroughly.
3. Organize the material into the three basic parts of a presentation. Introduction – student is told what will be covered – build up or motivate to a high interest level. Body – step by step and in a logical sequence. Summary – relate to the objectives (were they met?)
4. Select the instructional method; remember a good teacher uses more than one method. People learn by participation (doing, discussing, listening, observing). Prepare the lesson plan. Please do not say, “I’m going to speak about”; instead, “I’m going to teach”.

### **USING QUESTIONS AND FEEDBACK:**

Frequently, instructors become so good at knowing their subject or job, due to their extensive experience, they teach “over the heads” of their trainees. This tendency can be counteracted by being aware of the following points:

- ☐ Provide an initial overall introduction in general terms.
- ☐ Present new ideas in a logical sequence.
- ☐ Determine what to stress, and repeat the key points.
- ☐ Frequently demonstrate how each step fits into the overall picture.
- ☐ Go slowly, giving only as many new ideas as the learner can absorb.
- ☐ Use care in selecting words to be used, avoid unfamiliar terms.
- ☐ Evaluate the presentation against the learning objective prior to the classroom session.



To avoid duplication of training, it is important to find out what the learners already know before getting too involved in a detailed presentation. This may require asking relevant questions, or giving specific pre-tests, as a part of the introduction. The level of the class knowledge of the subject should be a determining factor on what is taught as well as how it is presented.

### **LESSON PLAN:**

A lesson plan is an agenda. It is the written document that guides the instructor through all phases of the instruction. A lesson plan has real value for the instructor for the following reasons:

- ☐ Helps the instructor stay on the subject;
- ☐ Keeps the presentation in the proper order;
- ☐ Gives the instructor confidence;

Lesson plans list objectives, key points in sequence, and notes what to say and do as the lesson progresses.

### **METHOD OF TRAINING:**

The selection of one training method over another is trainee oriented. The trainer should consider an answer to the question: "What method should be used to most effectively help the trainees learn, retain, and apply the content of the objective?" The following types of methods are commonly used in motor fleet training programs.

#### Lecture (telling):

The lecture is perhaps the most common method of presentation used today in the instructional process. However, it is well to remember that lecturing, or telling in any form, is not necessarily teaching. The lecture is an educationally inefficient method of presenting subject matter because the instructor has no way of knowing whether the presentation is being correctly accepted, or being accepted at all, by the students. It is a one-way process of teaching with the students having no means to respond. The lecture, despite its inherent problems of being "one-way" in nature, is quite time efficient in application. Some of the best and most practical uses of the lecture include:

- ☐ Introducing a new subject or topic;
- ☐ Giving direction to demonstrations;
- ☐ Summarizing large phases of teaching;

#### Discussion (interchange):

The method of discussion is centuries old. In a broad sense the discussion becomes a topical conversation in which the end goal is a shared experience of learning.

Discussion is a method of teaching that combines information from the instructor with answers, comments, and questions from the students. The chief element of discussion is group participation. The method has several important advantages.

- ☐ It stimulates student thinking. Learning is rapid when it is made a mental activity in which students take part.
- ☐ It is more interesting to students and teachers alike. Students like activity and will be more likely to share the experience.
- ☐ It gears the presentation to the class level. The instructor's best check of the general level of understanding is through discussion and sharing of knowledge.
- ☐ Learning results from the pooling of the knowledge of the group. Contributions from the class are a desirable means of relating the subject to the student's background, of bringing practical applications to the lesson, and of providing an outlet for students to "try out" their ideas on the teacher and on the group.

The learning derived is more permanent. All other things being equal, a forceful discussion experience is more likely to be remembered than one that is less forceful. The directed discussion as a student activity is a forceful learning experience.

#### Demonstration (showing):

A well-planned and well-presented demonstration is one of the most effective methods of teaching available to the instructor. The method brings into play several of the senses – the sense of sight, as the instructor shows how or why, and the sense of hearing, as the instructor provides an explanation to accompany the showing.

The student is much more active and gains more learning than through the narrow range of experience found in the strictly oral presentation. A demonstration can also have a dramatic quality that not only holds the interest of students but strengthens learning. The instructor can set the "stage" and "play the part" while the students serve as an "audience".

Selecting a method to be used in teaching is a key responsibility of the instructor. Some of the factors that affect choice of method include:

- ☐ Objective
- ☐ Type of student
- ☐ Size of class
- ☐ Available facilities
- ☐ Time available

Each of these factors may be more or less important in given conditions. For example, new recruits are not prepared for a “discussion” on shop safety, and a 20-minute time period won’t allow for much step by step “demonstration” of a 30-minute task.

### **APPLICATION OF LEARNING:**

The application of the learning experience for the student is an opportunity to try out what has been learned. Application as a process can take any number of forms, but the instructor must include some method of application as a part of the teaching plan. When skills have been taught, the student should be encouraged to practice under the helpful eye of the instructor. With any new knowledge or skill, mistakes can be expected as the application progresses. The role of the instructor is to guide the learner through the mistakes into a thorough understanding. “We learn by our mistakes” is a cliché, but it is never more appropriate than in the application experience. Occasionally a learner will have particular difficulty in performing the tasks being applied. An effective technique to employ when this is the case is to have the learner both perform the task and explain each operation aloud as it is accomplished. This can clarify a process in the learner’s mind as no other means is able to do. Adults, as they try out something new, recognize their mistakes and their successes. The role of the instructor in application is to provide guidance and encouragement.

When the training objective is the development of knowledge or attitude, the application process must take an alternative form to the physical process of learning by doing. This application of knowledge or attitude can become a set of responses to appropriate questions posed by the instructor. With skillful initial questioning and good follow-up questions, the instructor can encourage a discussion of this concept. In this way, the instructor finds out what the learner has grasped at the time the learner explores the subject matter in an individual, personalized manner. The application becomes a fine tuning process, as the learner reacts to what has been taught.

### **THE TESTING STEP:**

Testing may be defined as a method for checking in the beginning, along the way, as well as finally, on whether the learner has achieved the objectives set forth. Used properly, tests are a source of motivation as well as an evaluation of instructor and learner performance. Not all people like tests, but most people like to do well on them. There are several types of tests that can be used, first testing the learner and second, evaluating the instructor’s program. These forms include oral, written, or performance tests. Any test applied must match the objectives and be applicable to the type of learner. Effective tests measure performance in terms of objectives and are useless if they do not accurately measure the desired result.

Where the lesson objective involves the development skills, caution should be exercised in using paper and pencil tests. It is unlikely that skill development can be determined without a performance test. Tests measure learner performance, but they also measure instructor performance. If the learner hasn’t learned, the instructor hasn’t taught.

Tests can detect instructional flaws. The effective instructor uses the tests results received to improve the preparation, presentation, and application steps for future training sessions.

Testing does not necessarily have to fit any traditional mold or pre-conception. The instructor should adapt the testing step to fit the particular situation. Many motor fleet training programs use the testing step as a follow-up – an evaluation of learner performance at some time well after the conclusion of the actual training session. The learner and the skill, knowledge or attitude taught can be checked for effectiveness several times. Each occasion can become a remedial session for an employee not performing well or a reward, pat-on-the-back, for the employee doing well. The important part of the testing step is that it does occur, measuring accurately the performance of the learner and the instructor.

### **CONCLUSION:**

In an ever changing transportation business – workers, supervisors, and executives must all understand what is expected from them. They must be able to perform to the best of their abilities. To do this, information must be furnished in an effective manner.

Day-to-day experience is not enough. Systematic training is essential to prevent human obsolescence and to provide a means for upgrading performance. The process of training never ends. It should be continuous. The productive supervisor grows by generating continuous effort to exceed the demands of the job, and training is one of the factors that is necessary for efficiency and leadership.

## APPENDIX B – Safe Driving Award Program – Award Schedule

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### **[Example]**

#### ***Each Safe Driving Year***

- [Agency Name] patch, label in, wallet card with drivers name and number of safe driving years.

Additionally, awards are distributed for the following designated number of safe driving years:

#### **1 Year**

- Bronze [Agency Name] belt buckle with belt buckle attachment.
- Bronze medallion and pin with limited edition scene.

#### **2 Years**

- Belt buckle attachment with years of safe driving.
- Bronze medallion and pin with limited edition scene.

#### **3 Years**

- Belt buckle attachment with years of safe driving.
- Bronze medallion and pin with limited edition scene.
- Vest embroidered with safety logo, driver name, terminal and years of safe driving.
- Name, years of safe driving, and any special honors (Million mile club, Hall of Fame, etc.) placed on plaque in office.
- Small, wooden, felt lined medallion display board.

#### **4 Years**

- Belt buckle attachment with years of safe driving.
- Bronze medallion and pin with limited edition scene.
- Name, years of safe driving, and any special honors placed on plaque in office.

#### **5 Years**

- Silver [Agency Name] belt buckle.
- Belt buckle attachment with years of safe driving.
- Silver medallion and pin with limited edition scene.
- Jacket embroidered with safety logo, driver name, terminal and years of safe driving.
- Name, years of safe driving, and any special honors placed on plaque in office.

#### **6 to 9 Years**

- Belt buckle attachment with years of safe driving.
- Silver medallion and pin with limited edition scene.
- Name, years of safe driving, and any special honors placed on plaque in office.

**10 Years**

- Gold *[Agency Name]* belt buckle.
- Belt buckle attachment with years of safe driving.
- Gold watch with *[Agency Name]* logo on face.
- Gold medallion and pin with limited edition scene.
- Jacket embroidered with safety logo, driver name terminal, and years of safe driving.
- Name, years of safe driving, and any special honors placed on plaque in office.
- Large, wooden, felt lined medallion display board.

**11 to 14 Years**

- Belt buckle attachment with years of safe driving.
- Diamond attached to gold watch.
- Gold medallion and pin with limited edition scene.
- Name, years of safe driving, and any special honors placed on plaque in office.

**15 Years**

- Ring with a green stone.
- Belt buckle attachment with years of safe driving.
- Gold medallion and pin with limited edition scene and diamond attachment.
- Jacket embroidered with safety logo, driver name, terminal and years of safe driving.
- Name, years of safe driving, and any special honors placed on plaque in office.

**16 Years**

- Diamond set in ring around green stone for each year of safe driving.
- Belt buckle attachment with years of safe driving.
- Gold medallion and pin with limited edition scene and diamond attachment.
- Name, years of safe driving, and any special honors placed on plaque in office.

**20 Years**

- Diamond set in center of ring (green stone is cut out and .25 pt diamond inserted).
- Belt buckle attachment with years of safe driving.
- Gold medallion and pin with limited edition scene and diamond attachment.
- Jacket embroidered with safety logo, driver name, terminal, and years of safe driving.
- Name, years of safe driving, and any special honors placed on plaque in office.

**21-24 Years**

- Gold medallion and pin with limited edition scene and diamond attachment.
- Belt buckle attachment with years of safe driving.
- Name, years of safe driving, and any special honors placed on plaque in office.

**25 Years**

- Jacket embroidered with safety logo, driver name, terminal and years of safe driving.
- Name, years, of safe driving, and any special honors placed on plaque in office.
- Belt buckle attachment with years of safe driving.

- Gold medallion and pin with limited edition scene and diamond attachment.
- \$1000.00 check

**30 Years**

- \$1500.00 check

**35 Years**

- \$2000.00 check

**40 Years**

- \$2500.00 check

**Million-Mile Driver**

- Drivers who have driven one million miles with *[Agency Name]* receive a black satin jacket embroidered with a *[Agency Name]* logo, driver's name, and years of safe driving.
- Name, years of safe driving, and any special honors placed on plaque in office.

**Hall of Fame**

- Drivers, with one million miles of consecutive safe driving receive a three in one black jacket embroidered with a *[Agency Name]* logo, the driver's name, years of safe driving, Million-Mile Club and Hall of Fame.
- Plaque engraved with name, terminal, and the date inducted into the Hall of Fame.
- A one time check, net, of \$1000.00
- Name, years, of safe driving, and any special honors placed on plaque in office.
- Photograph and name added to the "wall of fame": at *[Agency Name]*.

## APPENDIX C – ADDITIONAL TRAINING MATERIALS AND RESOURCES

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1. National Safety Council. Defensive Driver Training Programs.  
<http://www.nsc.org/train/ddc/>
2. New York Department of Transportation. *Driver Training for Small Urban and Rural Transit Systems in New York State*.  
<http://www.dot.state.ny.us/pubtrans/dtrng.html>
3. Florida Transit Operator Training Program.  
[http://www.cutr.usf.edu/Transit\\_Operator%20Training/transitoperatortraining.htm](http://www.cutr.usf.edu/Transit_Operator%20Training/transitoperatortraining.htm)
4. National Training Institute. On-line Training Program Offerings:  
<http://www.ntionline.com/topic.asp?TopicArea=5>
5. U.S. Department of Transportation, Federal Transit Administration. Training Course Listings and Information.  
<http://transit-safety.volpe.dot.gov/Training/Courses/default.asp#train1>
6. Washington State Transportation Training Coalition. <http://www.wsttc.org/>
7. Transportation Safety Institute. Transit Safety and Security Program.  
<http://www.tsi.dot.gov/divisions/Transit/TSSP.aspx>
8. Community Transportation Association. CTAA's Community Transportation Training and Safety Review Program. <http://www.ctaa.org/training/safety/>
9. Pupil Transportation Safety Institute. <http://www.ptsi.org/>
10. Missouri Commercial Driver License Manual, Missouri Department of Revenue, 1994. <http://www.dor.mo.gov/mvdl/drivers/forms/cdl.pdf>



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1. American Public Transit Association. Manual for the Development of Bus Transit System Safety Program Plans. 1999.
2. Colorado Department of Transportation. Transit Safety and Security Prototype Approach. 2002.
3. National Committee for Motor Fleet Supervisor Training and Certification, American Trucking Association. *Motor Fleet Safety Supervision Principles and Practices*. 5<sup>th</sup> Edition.
4. New York State Department of Transportation, Public Transportation. *Driver Training for Small Urban and Rural Transit Systems in New York State*. 2005.
5. North Carolina Department of Transportation. Model Vehicle Safety Program.
6. Pennsylvania Department of Transportation, PennTRAIN. *PennSCORE Operator Training Manual*. 2002.
7. Texas Department of Transportation, U.S. Department of Transportation and Federal Highway Administration. *Safety Guidelines for Rural and Small Urban Transit Agencies*. 2003.
8. Transit Cooperative Research Program – Synthesis 40: *A Challenged Employment System: Hiring, Training, Performance Evaluation, and Retention of Bus Drivers*. A Synthesis of Transit Practices. National Academy Press. 2001.
9. Missouri Department of Revenue – *Missouri Commercial Driver License Manual*. 2004.

# **Missouri's Model Transit Bus Safety and Security Program**

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## **VEHICLE MAINTENANCE**

### **SECTION THREE**

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**MISSOURI DEPARTMENT OF TRANSPORTATION  
(MoDOT)  
TRANSIT SECTION**

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### **SECTION THREE:**

Proper maintenance of vehicles and equipment is an essential element of a safe and efficient transit operation. Maintenance can easily be neglected, as its role in the operation is often misunderstood by upper management. The proper role of maintenance is to ensure reliability of service and equipment, to ensure that the organization is in compliance with all applicable regulations and to place into service the safest vehicles possible. The fleet supervisor must be able to demonstrate to management the potential for loss if a maintenance program is ignored or abridged. Equipment failure could cost the fleet in both dollars and customer relations. Failure to comply with regulations could result in unnecessary costs due to unplanned and poorly organized programs to meet mandated standards. Vehicles placed into operation in a less than safe condition may also become a contributing factor to accidents.

The maintenance requirement for buses, vans and other transit vehicles is typically established by the manufacturer, as well as the Code of Federal Regulations (49-CFR). The maintenance requirements for parts, lubricants and other vehicle components should be recorded and a process should be established for monitoring these elements, completing required services, reporting equipment problems, making necessary repairs and replacing parts as scheduled. Maintenance programs are critical to keeping buses and other transit vehicles in safe operating condition and can help eliminate unnecessary costs and losses. Maintenance programs in use today have many aspects and employ many techniques. There are basically four key elements of maintenance that should be considered. These elements are:

1. Maintenance Records
2. Planned Maintenance
3. Vehicle Inspection
4. Vehicle Specification

### **MAINTENANCE RECORDS:**

The purpose of a record keeping system in a transit organization is to implement effective control and proper analysis. A vehicle expense control record system is the best tool to analyze the needs of the maintenance function of a transit fleet. The heart of any expense control record system is the vehicle history file. This record lists expenses for each fleet vehicle and typically includes:

- ☐ Completed repair orders,
- ☐ Vehicle data, and
- ☐ An update of past service.

The success or failure of the expense control system is heavily dependent upon the quality of the record keeping system within the operation. The records must be accurate, up-to-date and describe the problems encountered fully. The expenditures must be recorded when and where they occur. This is necessary so that a thorough and realistic analysis of scheduled maintenance and downtime can be recorded.

The vehicle history file allows the fleet supervisor to make proper decisions on a vehicle's status before proceeding with extensive or expensive repairs. This history file should always be studied, by the supervisor before any repair order is issued, to determine

- ☐ If the current problem is chronic;
- ☐ If the repairs have been excessive;
- ☐ If maintenance has been performed at proper intervals;
- ☐ If there is a problem with mechanics performing unnecessary or improper repairs.

#### **RECORD FORMAT:**

Many systems – both hard copy and electronic – for vehicle maintenance reporting are available to the industry for use by any type and size transit operation. They present and recommend standards for the data to be recorded as well as the method of recording and often include the necessary forms, software and hardware. With this guidance, individual transit organizations may establish intervals for inspections, adjustments, repairs and replacements as determined by manufacturer specifications and operational needs. These systems are adaptable to either data processing or manual record keeping procedures. The essentials of a good system should include:

- ☐ Meeting all regulatory requirements (see Appendix A, 49-CFR 396).
- ☐ Identification and classification of vehicles and their components, the operating conditions affecting the maintenance requirements of the vehicles and the conditions and performance of maintenance.
- ☐ Standard codes to record these identifications and classifications and to facilitate the processing of maintenance data into useful information. Such codes may include:
  - Activity (vehicle work assignment)
  - Reason for repair
  - Work accomplished
  - Repair class (timing of repairs)
  - Repair location
  - Part failure
  - Vehicle type
  - Vehicle component
  - Indirect labor
  - Direct labor (mechanic)
- ☐ Standard forms to record data should include:
  - The vehicle master record
  - The vehicle control identification
  - A driver's vehicle condition report
  - Repair order
  - Repair order log
  - Time card (direct and indirect labor)

## VEHICLE MAINTENANCE REPORTING STANDARDS (VMRS):

The Vehicle Maintenance Reporting Standards (VMRS) is the standard equipment maintenance management and parts inventory control information system of the motor fleet industry. VMRS is based upon standard data codes developed by the American Trucking Association's Management Systems Council.

- ☐ These codes describe the vehicle by:
  - Its major components, assemblies or parts;
  - Its physical characteristics; and
  - What has happened to it and what was done to it, by whom, where and at what cost.

Not only does this system allow for the means of identifying costs but it may also be used by transit organizations for major decisions regarding capital expenditures, operational and labor requirements and safety programs. Data that is readily captured at the maintenance shop level can be processed to provide management information to:

- ☐ Identify costs for financial analysis and accounting purposes,
- ☐ Provide a basis to substantiate warranty claims,
- ☐ Analyze labor productivity,
- ☐ Analyze facility management,
- ☐ Analyze operational requirements, and
- ☐ Assist safety programs to provide creditable and comparable information to the regulatory agencies.

Although the VMRS system may be implemented manually or electronically, one of the major advantages of electronic data processing is the ability to collect, process, store and rapidly retrieve vast amounts of data in the form of useful and timely information. As transit organizations become more experienced in using a VMRS system, expansion into other applications, like inventory control, can occur.

A belief, by management, that a reduction of operating costs may be achieved by cutting maintenance expense is always a possibility. An adequate record keeping system can assist the fleet supervisor in counteracting this misconception. Records can clearly show:

- ☐ How maintenance dollars are being spent;
- ☐ Problems of abuse or overloading;
- ☐ When vehicles have exceeded their economic life; and
- ☐ Expenditures listed by location, driver, mechanic or other criteria may indicate abnormal patterns.

Vehicle history data must be kept current as repairs are made and completed. They must also reflect skillful handling of company dollars and equipment if they are to have any credibility with upper management.

## PLANNED MAINTENANCE:

There are two basic types of vehicle maintenance. These are demand maintenance and planned maintenance. Demand maintenance, as a repair procedure, is conducted typically at critical points or at the time of a vehicle breakdown. This can produce an unreliable account of maintenance costs if unscheduled downtime losses, or actual on-the-road breakdowns are not recorded in the vehicle history data, therefore, not included in the total maintenance cost data. Demand maintenance is difficult to control and is almost impossible to use to establish proper equipment replacement and maintenance criteria. A component failure caused by poor maintenance can also damage related parts. This damage may not be noticed when repairs are performed as it is not a part of the demand service and repairs. Such damage can possibly result in yet another breakdown.

The preferred form of maintenance is planned or preventive maintenance. This form of maintenance makes it possible to control costs by budgeting both time and money for repairs. In this system, vehicles are scheduled at selected intervals for specific services. This has proven to be effective in reducing breakdowns and the resulting problems they cause for the fleet. Three basic requirements for a well planned maintenance system are;

- ☐ The system must be designed around the specific vehicles it is to maintain.
- ☐ The system must fit the conditions in which these vehicles operate.
- ☐ The system must change when either vehicles or operating conditions change.

When these criteria are met, planned maintenance systems can produce substantial savings in maintenance costs. The scheduled requirements for the maintenance procedures should be tailored to the fleet and should consider:

- ☐ The type of vehicle,
- ☐ The load-carrying components,
- ☐ The driver
- ☐ Vehicle age,
- ☐ Vehicle usage,
- ☐ Operating conditions and environment,
- ☐ The mechanical skills of the employees, and
- ☐ Load-moving components, if any.

In the simplest terms, planned maintenance means control of maintenance costs. Vehicle life may be extended and driver morale should be higher if the equipment is dependable in its performance. Factors such as these can also help reduce incidents and increase customer service reliability. Table 1 provides additional information on the elements typically found in each of these categories.

**Table 1. Examples of Preventive Maintenance**

<b>Category</b>	<b>Preventive Maintenance Elements</b>
Daily Servicing	Pre and post-trip inspection: Full fuel tank levels Proper fluid levels Safety devices in working order Interior and exterior clean and no damage noted
Periodic Inspection	Periodic checks to detect and repair damage or wear conditions before major problems occur: Tire wear Suspension Belts
Interval Related Maintenance	Based on experience and manufacturer guidelines: Lubricating oils Brake fluid Tires Parts
Breakdown Maintenance	Necessary when failure in vehicle parts or systems requiring the vehicle to be taken out of service: Flat tires Engine breakdowns Loss of brakes – brake system failure

The maintenance schedule should be matched to the vehicles operated by the transit agency, local conditions and the agency policies and maintenance practices. Typical maintenance intervals for different types of vehicles and operating environments are:

- ☐ 3,000 miles for gasoline vehicles used in urbanized areas,
- ☐ 4,000 miles for gasoline vehicles used in non-urbanized areas,
- ☐ 4,000 miles for small diesel vehicles, and
- ☐ 6,000 miles for medium-to-heavy diesel buses.

Table 2 provides an example of the elements typically inspected at different intervals in maintenance programs. This information can be used by rural and small urban agencies to develop a maintenance program matched to the local conditions and the specific types of vehicles operated.

*See Appendices B, C and D for examples of Pre, Post, and Preventative Maintenance Checklist forms.*



**Table 2. Examples of Preventive Maintenance Intervals and Elements Inspected**

Interval	Elements Inspected
Two months or 3,000-4,000 miles for gas and small diesel buses and 6,000 miles for medium/heavy buses, whichever comes first	<ul style="list-style-type: none"> <li>-Tire tread and pressure</li> <li>-Wheel rims for cracks</li> <li>-Lug nuts for tightness</li> <li>-Oil and fluids leaks and belt condition</li> <li>-Brakes, including master cylinder fluid level</li> <li>-Exhaust system</li> <li>-Seatbelts</li> <li>-Passenger seats</li> <li>-Brakes</li> <li>-Change engine oil</li> <li>-Change oil filter</li> <li>-Spark plug wires</li> <li>-Belts and hoses</li> <li>-Rear axle differential oil</li> <li>-Wheelchair securement and restraint systems</li> <li>-Cycle wheelchair lift</li> <li>-Windshield wipers and fluid</li> <li>-All interior and exterior mirrors</li> <li>-All exterior lights</li> <li>-Headlights (high and low beam)</li> <li>-Back-up lights and alarm</li> <li>-Taillights, Stop lights, License plate light and plate taillight</li> <li>-Turn signals and Hazard warning lights</li> <li>-Radio(s)</li> <li>-Fare box</li> </ul>
Six months or 8,000 to 12,000 miles depending on fleet experience and vehicle maintenance requirements	<ul style="list-style-type: none"> <li>-All of the above</li> <li>-Steering wheel play</li> <li>-Parking brake</li> <li>-Brake and acceleration pedals</li> <li>-Sun visor</li> <li>-Horn</li> <li>-Signs</li> <li>-All window glass, door glass &amp; window operations</li> <li>-Power steering fluid level</li> <li>-Transmission fluid level</li> <li>-Batteries</li> <li>-Antifreeze and condition</li> <li>-Exterior for body damage and condition</li> <li>-Air filter</li> <li>-Shock absorbers and springs or suspension system</li> <li>-Wheel bearings</li> <li>-Fuel tank condition</li> <li>-Alternative mountings for tightness</li> <li>-Air conditioning system</li> <li>-Rotate tires</li> </ul>
12 months or 24,000 to 36,000 miles	<ul style="list-style-type: none"> <li>-All of the above</li> <li>-Detailed frame and body checks, including bolts/nuts, rivets and welds</li> <li>-Pull all wheels, measure and inspect brake drums, rotors, brake pads and calipers</li> <li>-Change rear axle differential fluid</li> <li>-Change fuel filter and air filter</li> <li>-Clean engine and engine compartment (as needed)</li> </ul>

## VEHICLE INSPECTION:

The key to a good vehicle loss prevention program is the driver. The driver is often the first person who may notice a defect in a unit, whether or not the defect is safety related. The driver should conduct a thorough inspection and make a written report before and after operating a vehicle. Because the inspection procedures provide additional assurance of safe operating conditions at time of departure, most fleets include these procedures as a part of the organizations standard operating policies and rules.

Pre- and Post-Trip Inspection – A pre-trip inspection should be conducted to ensure that vehicles are in good working order and are ready for service. A pre-trip inspection can best be accomplished if it is done in an organized manner. In most cases, the single – complete circle – inspection of the vehicle is the best method to use and should take an operator approximately ten (10) minutes to complete. Pre and Post-Trip inspections may be completed every time there is a change in operator (see *Appendices B and C for example inspection checklists*). What follows is an example of a simple nine-step inspection:

1. **Check the engine** – before starting the vehicle, check the oil, radiator, brake fluid and coolant levels. Check belts and hoses for cracks, splits and worn spots. Check for loose battery cables and corrosion. Check for loose wires and fluid leaks. Start engine and check for leaking fluids.
2. **Check the dashboard and operator compartment** – Check turn signals, flashers, mirrors, lights, windshield wipers, washer and gauges. Check seat, seat belt, horn, steering wheel and radio(s).
3. **Check the safety equipment** – Check to see that the first-aid kit, flares, accident kit, fire extinguisher and other safety equipment are properly located in the vehicle and are in good working order.
4. **Check exterior lights** – With the engine running, check all exterior lights; headlights (high and low beams), parking lights, brake lights, turn signals, emergency flashers, back-up lights and clearance lights.
5. **Check the suspension** – Check the suspension to see if the vehicle is lower on one side or in the front or back.
6. **Check the tires** – Check the tire pressures and tread for depth, wear, loose parts, nails and other foreign objects.
7. **Check outside the vehicle** – Check windows, doors, bumpers and vehicle exterior for scratches, dents and broken/cracked glass. Check the exhaust for loose parts, noise and damage.
8. **Check the wheelchair lift and securement** (if applicable) – Cycle the wheelchair lift and check wheelchair securement devices in the vehicle.
9. **Check/test the brakes** – Check the brake system for proper operation and sponginess.

A post-trip inspection should be completed at the end of an operator's schedule to identify any problems that may have developed during operation.

A post-trip inspection may use the same procedures and form as the pre-trip inspection or the process may be modified. *See the Appendices B and C for sample pre and post-trip forms.*

Out-of-Service Condition – When any commercial motor vehicle(s), by reason of its mechanical condition or loading, is determined to be unsafe and likely to cause an accident or breakdown, or when such conditions would likely contribute to loss of control of the vehicle by the driver, the vehicle should be placed out-of-service. No transit agency should require, nor should any person operate any commercial motor vehicle declared and marked “out-of-service” until all required repairs have been completed. The Commercial Vehicle Safety Alliance (CVSA) establishes the North American Uniform Vehicle Out-of-Service Criteria and is subject to annual review and revision. For a complete and current copy of the criteria, visit the CVSA site at <http://www.cvsa.org/>.

#### **VEHICLE SPECIFICATION:**

Vehicle design and specification affect a fleet’s ability to perform safely and efficiently. A vehicle at work produces services and profit; in the repair shop it costs money. Selection of the right vehicle is more than just an acquisition or replacement process. To properly specify a vehicle requires experience, knowledge of components and equipment and an understanding of the jobs to be done. For this reason, specifications for transit vehicles should be jointly developed by maintenance, safety, operations and purchasing personnel. Some of the most significant trends in specification are toward economy of operation and safety for the driver. Some items to be considered should include:

- ☐ Wind Deflection – transit vehicles can benefit from aerodynamic design that can aid in economy and in some applications, vehicle stability.
- ☐ Tires – radial tires and re-treads contribute towards economic operation. Tubeless designs eliminate some maintenance problems. Fleet managers may specify different tread designs based upon their experience and type of operation.
- ☐ Vehicle Entry – slips and fall accidents are a major contributor to driver and passenger injuries. Adequate hand rails, non-skid surfaces and extra steps, both internal and external should be considered.
- ☐ Interior – standard design reduces the time needed when transitioning between vehicles is required. Seating, housekeeping, clearance and comfort are additional considerations to assist driver and passenger’s safety.
- ☐ Visibility – reduction of blind spots through the use of extra mirrors, wide-angle vision assistance devices and heated mirrors to prevent ice build up are just three examples of safety related vehicle specifications.
- ☐ Conspicuity – the application of reflective (conspicuous) materials and surfaces to a transit vehicle can greatly increase day or night time visibility and identification.

- ❑ Splash and Spray – mud flaps designed and installed to absorb and redirect road spray downward can increase visibility in inclement weather and decrease unwanted spray on other road users.

When new vehicles are added to a transit fleet, it may be necessary to instruct drivers on the procedures for their use and operating features. Training of this kind may alleviate many hazards and prevent misuse or abuse. Vehicle specification is a point of control for the fleet supervisor. If the proper vehicle is selected, the job of service, maintenance and supervision becomes easier and more efficient.

## APPENDIX – VEHICLE MAINTENANCE

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## APPENDIX A – 49 CFR 396 INSPECTION, REPAIR AND MAINTENANCE

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### **49 CFR 396 Inspection, Repair, and Maintenance 7/06**

#### **§396.1 Scope.**

General — Every motor carrier, its officers, drivers, agents, representatives, and employees directly concerned with the inspection or maintenance of motor vehicles shall comply and be conversant with the rules of this part.

[44 FR 38526, July 2, 1979, as amended at 53 FR 18058, May 19, 1988].

#### **§396.3 Inspection, repair and maintenance.**

(a) General — Every motor carrier shall systematically inspect, repair, and maintain, or cause to be systematically inspected, repaired, and maintained, all motor vehicles subject to its control.

(a)(1) Parts and accessories shall be in safe and proper operating condition at all times. These include those specified in Part 393 of this subchapter and any additional parts and accessories which may affect safety of operation, including but not limited to, frame and frame assemblies, suspension systems, axles and attaching parts, wheels and rims, and steering systems.

(a)(2) Pushout windows, emergency doors, and emergency door marking lights in buses shall be inspected at least every 90 days.

(b) Required records — For vehicles controlled for 30 consecutive days or more, except for a private motor carrier of passengers (nonbusiness), the motor carriers shall maintain, or cause to be maintained, the following record for each vehicle:

(b)(1) An identification of the vehicle including company number, if so marked make, serial number, year, and tire size. In addition, if the motor vehicle is not owned by the motor carrier, the record shall identify the name of the person furnishing the vehicle;

(b)(2) A means to indicate the nature and due date of the various inspection and maintenance operations to be performed;

(b)(3) A record of inspection, repairs and maintenance indicating their date and nature; and

(b)(4) A record of tests conducted on pushout windows, emergency doors, and emergency door marking lights on buses.

(c) Record retention — The records required by this section shall be retained where the vehicle is either housed or maintained for a period of 1 year and for 6 months after the motor vehicle leaves the motor carrier's control.

[44 FR 38526, July 2, 1979, as amended at 48 FR 55868, Dec. 16, 1983; 53 FR 18058, May 19, 1988; 59 FR 8753, Feb. 23, 1994; 59 FR 60324, Nov. 23, 1994].

**§396.5 Lubrication.**

Every motor carrier shall ensure that each motor vehicle subject to its control is—

(a) properly lubricated; and (b) free of oil and grease leaks.

**§396.7 Unsafe operations forbidden.**

(a) General — A motor vehicle shall not be operated in such a condition as to likely cause an accident or a breakdown of the vehicle.

(b) Exemption — Any motor vehicle discovered to be in an unsafe condition while being operated on the highway may be continued in operation only to the nearest place where repairs can safely be effected. Such operation shall be conducted only if it is less hazardous to the public than to permit the vehicle to remain on the highway.

**§396.9 Inspection of motor vehicles in operation.**

(a) Personnel authorized to perform inspections — Every special agent of the FMCSA (as defined in Appendix B to this subchapter) is authorized to enter upon and perform inspections of motor carrier's vehicles in operation.

(b) Prescribed inspection report — The Driver Vehicle Examination Report shall be used to record results of motor vehicle inspections conducted by authorized FMCSA personnel.

(c) Motor vehicles declared "out of service".

(c)(1) Authorized personnel shall declare and mark "out of service" any motor vehicle which by reason of its mechanical condition or loading would likely cause an accident or a breakdown. An "Out of Service Vehicle" sticker shall be used to mark vehicles "out of service".

(c)(2) No motor carrier shall require or permit any person to operate nor shall any person operate any motor vehicle declared and marked "out of service" until all repairs required by the "out of service notice" have been satisfactorily completed. The term "operate" as used in this section shall include towing the vehicle, except that vehicles marked "out of service" may be towed away by means of a vehicle using a crane or hoist. A vehicle combination consisting of an emergency towing vehicle and an "out of service" vehicle shall not be operated unless such combination meets the performance requirements of this subchapter except for those conditions noted on the Driver Vehicle Examination Report.

(c)(3) No person shall remove the "Out of Service Vehicle" sticker from any motor vehicle prior to completion of all repairs, required by the "out of service notice".

(d) Motor carrier disposition.

(d)(1) The driver of any motor vehicle receiving an inspection report shall deliver it to the motor carrier operating the vehicle upon his/her arrival at the next terminal or facility. If the driver is not scheduled to arrive at a terminal or facility of the motor carrier operating the vehicle within 24 hours, the driver shall immediately mail the report to the motor carrier.

(d)(2) Motor carriers shall examine the report. Violations or defects noted thereon shall be corrected.

(d)(3) Within 15 days following the date of the inspection, the motor carrier shall —

(d)(3)(i) Certify that all violations noted have been corrected by completing the "Signature of Carrier Official, Title, and Date Signed" portions of the form; and

(d)(3)(ii) Return the completed roadside inspection form to the issuing agency at the address indicated on the form and retain a copy at the motor carrier's principal place of business or where the vehicle is housed for 12 months from the date of the inspection.

(49 U.S.C. 3102; 49 CFR 1.48(b))

[44 FR 38526, July 2, 1979, as amended at 49 FR 38290, Sept. 28, 1984; 57 FR 40964, Sept. 8, 1992; 66 FR 49874, Oct. 1, 2001]

### **§396.11 Driver vehicle inspection report(s).**

(a) Report required. Every motor carrier shall require its drivers to report, and every driver shall prepare a report in writing at the completion of each day's work on each vehicle operated and the report shall cover at least the following parts and accessories:

Service brakes including trailer brake connections

Parking (hand) brake

Steering mechanism

Lighting devices and reflectors

Tires

Horn

Windshield wipers

Rear vision mirrors

Coupling devices

Wheels and rims

Emergency equipment

(b) Report content. The report shall identify the vehicle and list any defect or deficiency discovered by or reported to the driver which would affect the safety of operation of the vehicle or result in its mechanical breakdown. If no defect or deficiency is discovered by or reported to the driver, the report shall so indicate. In all instances, the driver shall sign the report. On two-driver operations, only one driver needs to sign the driver vehicle inspection report, provided both drivers agree as to the defects or deficiencies identified. If a driver operates more than one vehicle during the day, a report shall be prepared for each vehicle operated.

(c) Corrective action. Prior to requiring or permitting a driver to operate a vehicle, every motor carrier or its agent shall repair any defect or deficiency listed on the driver vehicle inspection report which would be likely to affect the safety of operation of the vehicle.



(1) Every motor carrier or its agent shall certify on the original driver vehicle inspection report which lists any defect or deficiency that the defect or deficiency has been repaired or that repair is unnecessary before the vehicle is operated again.

(2) Every motor carrier shall maintain the original driver vehicle inspection report, the certification of repairs, and the certification of the driver's review for three months from the date the written report was prepared.

(d) Exceptions. The rules in this section shall not apply to a private motor carrier of passengers (nonbusiness), a driveaway-towaway operation, or any motor carrier operating only one commercial motor vehicle.

[44 FR 38526, July 2, 1979, as amended at 45 FR 46425, July 10, 1980; 53 FR 18058, May 19, 1988; 59 FR 8753, Feb. 23, 1994; 63 FR 33279, June 18, 1998].

### **§396.13 Driver inspection.**

Before driving a motor vehicle, the driver shall:

(a) Be satisfied that the motor vehicle is in safe operating condition;

(b) Review the last driver vehicle inspection report; and

(c) Sign the report, only if defects or deficiencies were noted by the driver who prepared the report, to acknowledge that the driver has reviewed it and that there is a certification that the required repairs have been performed. The signature requirement does not apply to listed defects on a towed unit which is no longer part of the vehicle combination.

[44 FR 76526, Dec. 27, 1979, as amended at 48 FR 55868, Dec. 16, 1983; 63 FR 33280, June 18, 1998].

### **§396.15 Driveaway towaway operations and inspections.**

(a) General. Effective December 7, 1989, every motor carrier, with respect to motor vehicles engaged in driveaway towaway operations, shall comply with the requirements of this part. Exception: Maintenance records required by §396.3, the vehicle inspection report required by §396.11, and the periodic inspection required by §396.17 of this part shall not be required for any vehicle which is part of the shipment being delivered.

(b) Pre-trip inspection. Before the beginning of any driveaway towaway operation of motor vehicles in combination, the motor carrier shall make a careful inspection and test to ascertain that:

(b)(1) The towbar or saddle mount connections are properly secured to the towed and towing vehicle;

(b)(2) They function adequately without cramping or binding of any of the parts; and

(b)(3) The towed motor vehicle follows substantially in the path of the towing vehicle without whipping or swerving.

(c) Post-trip inspection. Motor carriers shall maintain practices to ensure that following completion of any trip in driveaway towaway operation of motor vehicles in combination, and before they are used again, the towbars and saddle mounts are disassembled and inspected for worn, bent, cracked, broken, or missing parts. Before reuse, suitable repair or replacement shall be made of any defective parts and the devices shall be properly reassembled.

[44 FR 38526, July 2, 1979, as amended at 53 FR 49410, Dec. 7, 1988; 53 FR 49968, Dec. 12, 1988].

### **§396.17 Periodic inspection.**

(a) Every commercial motor vehicle shall be inspected as required by this section. The inspection shall include, at a minimum, the parts and accessories set forth in Appendix G of this subchapter.

**Note:** The term commercial motor vehicle includes each vehicle in a combination vehicle. For example, for a tractor semitrailer, fulltrailer combination, the tractor, semitrailer, and the fulltrailer (including the converter dolly if so equipped) shall each be inspected.

(b) Except as provided in §396.23, a motor carrier shall inspect or cause to be inspected all motor vehicles subject to its control.

(c) A motor carrier shall not use a commercial motor vehicle unless each component identified in Appendix G has passed an inspection in accordance with the terms of this section at least once during the preceding 12 months and documentation of such inspection is on the vehicle. The documentation may be:

(c)(1) The inspection report prepared in accordance with paragraph §396.21(a), or

(c)(2) Other forms of documentation, based on the inspection report (e.g., sticker or decal), which contains the following information:

(c)(2)(i) The date of inspection;

(c)(2)(ii) Name and address of the motor carrier or other entity where the inspection report is maintained;

(c)(2)(iii) Information uniquely identifying the vehicle inspected if not clearly marked on the motor vehicle; and

(c)(2)(iv) A certification that the vehicle has passed an inspection in accordance with §396.17.

(d) A motor carrier may perform the required annual inspection for vehicles under the carrier's control which are not subject to an inspection under §396.23(b)(1).

(e) In lieu of the self inspection provided for in paragraph (d) of this section, a motor carrier may choose to have a commercial garage, fleet leasing company, truck stop,

or other similar commercial business perform the inspection as its agent, provided that business operates and maintains facilities appropriate for commercial vehicle inspections and it employs qualified inspectors, as required by §396.19.

(f) Vehicles passing roadside or periodic inspections performed under the auspices of any State government or equivalent jurisdiction or the FMCSA, meeting the minimum standards contained in Appendix G of this subchapter, will be considered to have met the requirements of an annual inspection for a period of 12 months commencing from the last day of the month in which the inspection was performed, except as provided in §396.23(b)(1).

(g) It shall be the responsibility of the motor carrier to ensure that all parts and accessories not meeting the minimum standards set forth in Appendix G to this subchapter are repaired promptly.

(h) Failure to perform properly the annual inspection set forth in this section shall cause the motor carrier to be subject to the penalty provisions provided by 49 U.S.C.521(b).

[53 FR 49410, Dec. 7, 1988; 53 FR 49968, Dec. 12, 1988, as amended at 54 FR 50725, Dec. 8, 1989; 66 FR 49874, Oct. 1, 2001]

### **§396.19 Inspector qualifications.**

(a) It shall be the motor carrier's responsibility to ensure that the individual(s) performing an annual inspection under §396.17(d) or (e) is qualified as follows:

(a)(1) Understands the inspection criteria set forth in 49 CFR Part 393 and Appendix G of this subchapter and can identify defective components;

(a)(2) Is knowledgeable of and has mastered the methods, procedures, tools and equipment used when performing an inspection; and

(a)(3) Is capable of performing an inspection by reason of experience, training, or both as follows:

(a)(3)(i) Successfully completed a State or Federal sponsored training program or has a certificate from a State or Canadian Province which qualifies the person to perform commercial motor vehicle safety inspections, or

(a)(3)(ii) Have a combination of training and/or experience totaling at least 1 year. Such training and/or experience may consist of:

(a)(3)(ii)(A) Participation in a truck manufacturer sponsored training program or similar commercial training program designed to train students in truck operation and maintenance;

(a)(3)(ii)(B) Experience as a mechanic or inspector in a motor carrier maintenance program;

(a)(3)(ii)(C) Experience as a mechanic or inspector in truck maintenance at a commercial garage, fleet leasing company, or similar facility; or

(a)(3)(ii)(D) Experience as a commercial vehicle inspector for a State, Provincial or Federal Government.

(b) Evidence of that individual's qualifications under this section shall be retained by the motor carrier for the period during which that individual is performing annual motor vehicle inspections for the motor carrier, and for one year thereafter. However, motor carriers do not have to maintain documentation of inspector qualifications for those inspections performed either as part of a State periodic inspection program or at the roadside as part of a random roadside inspection program.

[53 FR 49410, Dec. 7, 1988; 53 FR 49968, Dec. 12, 1988].

#### **§396.21 Periodic inspection recordkeeping requirements.**

(a) The qualified inspector performing the inspection shall prepare a report which:

(a)(1) Identifies the individual performing the inspection;

(a)(2) Identifies the motor carrier operating the vehicle;

(a)(3) Identifies the date of the inspection;

(a)(4) Identifies the vehicle inspected;

(a)(5) Identifies the vehicle components inspected and describes the results of the inspection, including the identification of those components not meeting the minimum standards set forth in Appendix G to this subchapter; and

(a)(6) Certifies the accuracy and completeness of the inspection as complying with all the requirements of this section.

(b)(1) The original or a copy of the inspection report shall be retained by the motor carrier or other entity who is responsible for the inspection for a period of fourteen months from the date of the inspection report. The original or a copy of the inspection report shall be retained where the vehicle is either housed or maintained.

(b)(2) The original or a copy of the inspection report shall be available for inspection upon demand of an authorized Federal, State or local official.

(b)(3) Exception. Where the motor carrier operating the commercial motor vehicles did not perform the commercial motor vehicle's last annual inspection, the motor carrier shall be responsible for obtaining the original or a copy of the last annual inspection report upon demand of an authorized Federal, State, or local official.

[54 FR 50725, Dec. 8, 1989].

#### **§396.23 Equivalent to periodic inspection.**

(a) The motor carrier may meet the requirements of §396.17 through a State or other jurisdiction's roadside inspection program. The inspection must have been performed during the preceding 12 months.

In using the roadside inspection, the motor carrier would need to retain a copy of an annual inspection report showing that the inspection was performed in accordance with the minimum periodic inspection standards set forth in appendix G to this subchapter. When accepting such an inspection report, the motor carrier must ensure that the report complies with the requirements of §396.21(a).

(b)(1) If a commercial motor vehicle is subject to a mandatory State inspection program which is determined by the Administrator to be as effective as §396.17, the motor carrier shall meet the requirement of §396.17 through that State's inspection program. Commercial motor vehicle inspections may be conducted by State personnel, at State authorized commercial facilities, or by the motor carrier under the auspices of a State authorized self inspection program.

(b)(2) Should the FMCSA determine that a State inspection program, in whole or in part, is not as effective as §396.17, the motor carrier must ensure that the periodic inspection required by §396.17 is performed on all commercial motor vehicles under its control in a manner specified in §396.17.

[53 FR 49410, Dec. 7, 1988; 53 FR 49968, Dec. 12, 1988, as amended at 60 FR 38749, July 28, 1995; 66 FR 49874, Oct. 1, 2001]

#### **§396.25 Qualifications of brake inspectors.**

(a) The motor carrier shall ensure that all inspections, maintenance, repairs or service to the brakes of its commercial motor vehicles, are performed in compliance with the requirements of this section.

(b) For purposes of this section, "brake inspector" means any employee of a motor carrier who is responsible for ensuring all brake inspections, maintenance, service, or repairs to any commercial motor vehicle, subject to the motor carrier's control, meet the applicable Federal standards.

(c) No motor carrier shall require or permit any employee who does not meet the minimum brake inspector qualifications of §396.25(d) to be responsible for the inspection, maintenance, service or repairs of any brakes on its commercial motor vehicles.

(d) The motor carrier shall ensure that each brake inspector is qualified as follows:

(d)(1) Understands the brake service or inspection task to be accomplished and can perform that task; and

(d)(2) Is knowledgeable of and has mastered the methods, procedures, tools and equipment used when performing an assigned brake service or inspection task; and

(d)(3) Is capable of performing the assigned brake service or inspection by reason of experience, training or both as follows:

(d)(3)(i) Has successfully completed an apprenticeship program sponsored by a State, a Canadian Province, a Federal agency or a labor union, or a training program approved by a State, Provincial or Federal agency, or has a certificate from a State or Canadian

Province which qualifies the person to perform the assigned brake service or inspection task (including passage of Commercial Driver's License air brake tests in the case of a brake inspection); or

(d)(3)(ii) Has brake related training or experience or a combination thereof totaling at least one year. Such training or experience may consist of:

(d)(3)(ii)(A) Participation in a training program sponsored by a brake or vehicle manufacturer or similar commercial training program designed to train students in brake maintenance or inspection similar to the assigned brake service or inspection tasks; or

(d)(3)(ii)(B) Experience performing brake maintenance or inspection similar to the assigned brake service or inspection task in a motor carrier maintenance program; or

(d)(3)(ii)(C) Experience performing brake maintenance or inspection similar to the assigned brake service or inspection task at a commercial garage, fleet leasing company, or similar facility.

(e) No motor carrier shall employ any person as a brake inspector unless the evidence of the inspector's qualifications, required under this section is maintained by the motor carrier at its principal place of business, or at the location at which the brake inspector is employed. The evidence must be maintained for the period during which the brake inspector is employed in that capacity and for one year thereafter. However, motor carriers do not have to maintain evidence of qualifications to inspect air brake systems for such inspections performed by persons who have passed the air brake knowledge and skills test for a Commercial Driver's License.

[56 FR 491, Jan. 7, 1991].

## APPENDIX B – PRE-TRIP FORM EXAMPLES

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### *Pre-Trip Inspection Sheet*

Date: \_\_\_\_\_ Vehicle: \_\_\_\_\_

Mileage: \_\_\_\_\_

#### UNDERHOOD

- ☐ Oil level
- ☐ Oil added \_\_\_\_\_ quarts
- ☐ Radiator level
- ☐ Battery level
- ☐ Windshield washer fluid level
- ☐ Engine/hoses/belts

#### EXTERIOR

- ☐ Tires
- ☐ Turn signals
- ☐ Headlights
- ☐ Tail/brakes lights
- ☐ Windshield wipers
- ☐ Fresh body damage
- ☐ Cleanliness
- ☐ Cycle lift (light oil every 2 wks)

#### SAFETY EQUIPMENT

- ☐ Fire extinguisher
- ☐ Web cutter
- ☐ Triangles
- ☐ First aid kit
- ☐ Back-up alarm
- ☐ Rear door buzzer (LTV only)
- ☐ Biohazard kit

#### INTERIOR

- ☐ Brakes
- ☐ Steering
- ☐ Transmission
- ☐ Mirrors
- ☐ Gauge/instruments
- ☐ Controls (equipment)
- ☐ Radio (two-way)
- ☐ Damage/cleanliness

Notes: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Driver signature: \_\_\_\_\_



## PRE-TRIP INSPECTION SHEET

**Mon Tues Wed Thur Fri**

**DATE** \_\_\_\_\_ **TIME** \_\_\_\_\_

### **Engine Compartment**

Belts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Hoses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Brakes	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Brakes Fluid	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Air Pressure gauges	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fuses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Battery Cables	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### **Communication Equipment**

Lift/Ramp Operators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Adequate tie-downs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Tie-down Tracks (Must Be Clean)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### **Safety Equipment**

Fire Extinguisher	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
First Aid Equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Biohazard Kit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### **Body**

Tires	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lugs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Oil Seals (Axle seals-back, hub seals-front)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mirrors	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Body Damage	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cleanliness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

COMMENTS: \_\_\_\_\_

<p><b>SIGNATURE:</b></p> <p>Mon. _____</p> <p>Tue. _____</p> <p>Wed. _____</p> <p>Thur. _____</p> <p>Fri. _____</p>	<p><b>ODOMETER:</b></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
---	--

\*Report any unusual vehicle performance problem(s) no later than the end of your shift.

## PRE-TRIP INSPECTION SHEET

Driver: \_\_\_\_\_ Date: \_\_\_\_\_

Vehicle #: \_\_\_\_\_ Route #: \_\_\_\_\_ Odometer: \_\_\_\_\_

### 1. ENGINE COMPARTMENT

Oil level _____ OK _____ N/Attn.	Coolant level _____ OK _____ N/Attn.
Power steering fluid _____ OK _____ N/Attn.	Brake fluid _____ OK _____ N/Attn.
Battery fluid _____ OK _____ N/Attn.	Transmission fluid _____ OK _____ N/Attn.
Windshield washer fluid _____ OK _____ N/Attn.	Fan belts _____ OK _____ N/Attn.
Radiator hoses _____ OK _____ N/Attn.	Power steering hoses _____ OK _____ N/Attn.
Air conditioning hoses _____ OK _____ N/Attn.	Wiring insulation _____ OK _____ N/Attn.

### 2. DRIVER'S AREA – ENGINE RUNNING

Engine noise _____ OK _____ N/Attn.	Instrument gauges _____ OK _____ N/Attn.
Steering wheel "play" _____ OK _____ N/Attn.	Accelerator _____ OK _____ N/Attn.
Shift lever _____ OK _____ N/Attn.	Horn _____ OK _____ N/Attn.
Windshield wiper/Washer _____ OK _____ N/Attn.	Light switches _____ OK _____ N/Attn.
Air conditioning/Heater _____ OK _____ N/Attn.	Emergency equipment - _____ OK _____ N/Attn.
Front _____ OK _____ N/Attn.	spare fuses, first aid kit,
Rear _____ OK _____ N/Attn.	fire extinguisher, reflective
Fire suppression/CNG _____ OK _____ N/Attn.	triangles
detection test	

### 3. LIGHTS – OPERATION AND CLEANING

Low beam _____ OK _____ N/Attn.	Four-way flashers _____ OK _____ N/Attn.
High beam _____ OK _____ N/Attn.	Instrument panel _____ OK _____ N/Attn.
Front turn signal _____ OK _____ N/Attn.	Dome/Courtesy _____ OK _____ N/Attn.
Rear turn signal _____ OK _____ N/Attn.	Parking/Clearance lights _____ OK _____ N/Attn.
Destination signal _____ OK _____ N/Attn.	Brake lights _____ OK _____ N/Attn.
Front _____ OK _____ N/Attn.	Passenger door _____ OK _____ N/Attn.
Side _____ OK _____ N/Attn.	Back-up lights _____ OK _____ N/Attn.
Keypad _____ OK _____ N/Attn.	License plate _____ OK _____ N/Attn.

### 4. GENERAL WALK-AROUND

Overall body condition _____ OK _____ N/Attn.	Cleanliness – inside/outside _____ OK _____ N/Attn.
Windshield clean _____ OK _____ N/Attn.	Rear wheels/lug nuts _____ OK _____ N/Attn.
Leaks – oil, water, fuel _____ OK _____ N/Attn.	Rear tires – proper pressure _____ OK _____ N/Attn.
Rear view mirrors _____ OK _____ N/Attn.	Front tires/lug nuts _____ OK _____ N/Attn.
Exhaust system – no leaks _____ OK _____ N/Attn.	Front tires – proper pressure _____ OK _____ N/Attn.
Wood trim (trolley) _____ OK _____ N/Attn.	

### 5. BRAKES AND SUSPENSION

Parking brake _____ OK _____ N/Attn.	Springs – front/rear _____ OK _____ N/Attn.
Service brake – leaks, _____ OK _____ N/Attn.	Shocks – front/rear _____ OK _____ N/Attn.
unequal pulling, needs _____ OK _____ N/Attn.	Front end alignment _____ OK _____ N/Attn.
adjustment	Air brake test _____ OK _____ N/Attn.

### 6. PASSENGER AREA

Entry steps secure _____ OK _____ N/Attn.	Handrails secure _____ OK _____ N/Attn.
Seats secure _____ OK _____ N/Attn.	Seat belts _____ OK _____ N/Attn.
Emergency exits _____ OK _____ N/Attn.	Roof hatches _____ OK _____ N/Attn.
Cargo secure _____ OK _____ N/Attn.	

### 7. WHEELCHAIR LIFT

Access door _____ OK _____ N/Attn.	Lift operation switch _____ OK _____ N/Attn.
Hydraulic fluid levels _____ OK _____ N/Attn.	Tie-down straps _____ OK _____ N/Attn.
Electrical controls _____ OK _____ N/Attn.	Manual controls _____ OK _____ N/Attn.

## PRE-TRIP INSPECTION SHEET

Mark an X next to each item to indicate that you have verified the condition of the item. If you find that something is missing or damaged, report your findings to your supervisor before operating the vehicle. Do not operate the vehicle if maintenance must be done on it\*:

### **Engine Compartment**

- \_\_\_\_\_ Belts
- \_\_\_\_\_ Hoses
- \_\_\_\_\_ Brakes
- \_\_\_\_\_ Brake fluid
- \_\_\_\_\_ Air pressure gauges
- \_\_\_\_\_ Fuses
- \_\_\_\_\_ Battery Cables

### **Communication Equipment**

- \_\_\_\_\_ Radio (Two way check)

### **Safety Equipment**

- \_\_\_\_\_ Fire extinguisher
- \_\_\_\_\_ First aid equipment
- \_\_\_\_\_ Biohazard Kit

### **Body**

- \_\_\_\_\_ Tires
- \_\_\_\_\_ Lugs
- \_\_\_\_\_ Oil Seals (axle seals- back, hub seals-front)
- \_\_\_\_\_ Mirrors
- \_\_\_\_\_ Body Damage
- \_\_\_\_\_ Cleanliness

### **Equipment for Transporting Wheelchairs**

- \_\_\_\_\_ Lift/Ramp Operation
- \_\_\_\_\_ Adequate tie-down
- \_\_\_\_\_ Tie-down Tracks (must be clean)

### **Comments**

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*\* Pre-trip inspection forms should be submitted to the Maintenance Manager at the end of the shift.*

Keep track of preventive maintenance needs (according to the preventive maintenance schedule). This information will allow the maintenance staff to schedule and perform the required service in a timely manner.

Report any unusual vehicle performance problem no later than the end of your shift.

## APPENDIX C – POST-TRIP FORM EXAMPLES

### Post-trip Vehicle Defect Sheet

Return to supervisor if repairs are needed.

If a problem develops with your vehicle during your run, indicate the nature of the problem on this sheet by both marking with an “X” the appropriate difficulty and explaining the problem in as much detail as possible. Give the completed form to your supervisor.

Defect \_\_\_\_\_ Date \_\_\_\_\_

Vehicle # \_\_\_\_\_ Driver's Signature \_\_\_\_\_

#### **Exterior**

☐ Headlights  
☐ Turn Signals  
☐ Back-up Lights  
☐ Mirrors  
☐ Windshield Wipers  
☐ Windows  
☐ Tires (Inflation and tread wear)  
☐ Body Damage  
☐ Cleanliness  
☐ Wheelchair Lift/Ramp Operation

#### **Interior**

☐ Brakes  
☐ Steering  
☐ Gauges and Indicators  
☐ Transmission Selector  
☐ Radio  
☐ Cleanliness

#### **Engine Area**

☐ Belts and Hoses \_\_\_\_\_

#### **Fluid Levels** [Appropriate checks to be determined by Supervisor]

☐ Oil                      ☐ Radiator                      ☐ Brakes  
☐ Steering                      ☐ Transmission                      ☐ Windshield Washer  
☐ Battery

#### **Repairs Made**

Date \_\_\_\_\_

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Supervisor's Signature \_\_\_\_\_

## Post-trip Vehicle Defect Sheet

Please complete this form if a problem develops during a trip. The completed form should be given or faxed to the lead driver or dispatcher.

Date: \_\_\_\_\_

Vehicle #: \_\_\_\_\_

### Exterior

- \_\_\_\_\_ Headlight
- \_\_\_\_\_ Turn signal
- \_\_\_\_\_ Back-up lights
- \_\_\_\_\_ Mirrors
- \_\_\_\_\_ Windshield wipers
- \_\_\_\_\_ Windows
- \_\_\_\_\_ Tires
- \_\_\_\_\_ Body damage
- \_\_\_\_\_ Cleanliness
- \_\_\_\_\_ W/c lift operation
- \_\_\_\_\_ Other (specify)
- \_\_\_\_\_ Other (specify)

### Interior

- \_\_\_\_\_ Brakes
- \_\_\_\_\_ Steering
- \_\_\_\_\_ Gauges, indicators
- \_\_\_\_\_ Transmission
- \_\_\_\_\_ Two-way radio
- \_\_\_\_\_ Cleanliness
- \_\_\_\_\_ Radiator
- \_\_\_\_\_ Belts, hoses
- \_\_\_\_\_ Battery
- \_\_\_\_\_ Oil
- \_\_\_\_\_ Other (specify)
- \_\_\_\_\_ Other (specify)

### Remarks, Observations, Specifications of Others

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Driver Signature: \_\_\_\_\_

**Office Use:** Date repairs completed \_\_\_\_\_

Signature \_\_\_\_\_

## POST-TRIP VEHICLE DEFECT SHEET

If a problem develops with your vehicle during your route, indicate the nature of the problem on this form by marking an X next to a specific area of concern and explaining the problem in as much detail as possible. Give the completed form to your supervisor.

Date \_\_\_\_\_ Vehicle # \_\_\_\_\_

Driver's Name \_\_\_\_\_

### ***Exterior Defect***

☐ Headlights  
☐ Turn Signals  
☐ Back-up-Lights  
☐ Mirrors  
☐ Windshield Wipers  
☐ Windows  
☐ Tires (Inflation and tread wear)  
☐ Body Damage  
☐ Cleanliness  
☐ Wheelchair Lift/Ramp Operation

### ***Interior Defect***

☐ Brakes  
☐ Steering  
☐ Gauge and Indicators  
☐ Transmission Selector  
☐ Radio  
☐ Cleanliness  
☐ Engine Area  
☐ Belts and Hoses

### **Fluid Levels:** (Appropriate checks to be determined by Supervisor)

<input type="checkbox"/> Oil	<input type="checkbox"/> Radiator	<input type="checkbox"/> Brakes
<input type="checkbox"/> Transmission	<input type="checkbox"/> Battery	<input type="checkbox"/> Windshield Washer
<input type="checkbox"/> Steering		

### ***Projected repairs to be made:***

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Driver's Signature \_\_\_\_\_ Date \_\_\_\_\_

Supervisor's Signature \_\_\_\_\_ Date \_\_\_\_\_

## APPENDIX D – SAMPLE PREVENTATIVE MAINTENANCE INSPECTION CHECKLIST

<b>SAMPLE PREVENTATIVE MAINTENANCE INSPECTION SHEET</b> <b>FIXED ROUTE VEHICLE INSPECTION</b>			
Date: _____		Vehicle #: _____ Mileage: _____ Interval: _____ Inspector: _____	
<b>Chapter 6 TYPE OF OPERATIONS TO BE PERFORMED: 'I' if Okay; 'X' if Adjusted; 'O' if Repairs are Required</b>			
PM WORK ORDER NUMBER: _____		REPAIR WORK ORDER NUMBER: _____	
<b>OPERATIONAL CONTROLS</b>		<b>SURVEILLANCE SYSTEM</b>	
<b>Chapter 7 Verify that starter will only work in Neutral</b>		Check operation, adjustment, and damage on cameras	
Check operations of wipers and washers		Inspect recorder securement, mounts, wiring, damage	
Inspect all gauges for proper operation			
Attempt to move bus with Park Brake applied		<b>EXTERIOR</b>	
Check door control operation in all positions		Inspect reflectors for securement, damage, & wear	
Check throttle interlock with exit door activated		Inspect panels and skirts for secure., damage, & wear	
Check brake interlock with exit door activated		Steam clean engine and batteries	
Check throttle interlock with kneeler activated		Gently steam clean radiator core (no caustic cleaners)	
Check brake interlock with kneeler activated			
Check operation of door dump valve		<b>TIRES AND WHEELS</b>	
<i>Trip door sens edge; should set alarm and open door</i>		Inspect wheel hardware for loose lugs	
Check climate control and reheat mode		Inspect tires for damage	
Check climate control potentiometer		Check hubodometer for securement and damage	
Check blower operation on all speeds		Check for missing valve caps and damaged stems	
Verify proper blower air flow at Driver area ducting		Inspect wheels for damage, cracks, and rust trails	
Operate kneeler. Check alarm and warning lights		Check oil level in front hub oil reservoir	
Check fast idle. (switch must be off to move G-90)			
Check all exterior lights for proper operation		<b>BATTERIES</b>	
Check all interior lights. Lamps must cancel in Reverse		Remove corrosion and check for proper connections	
Check operation of step well lights		Check cables and terminals for fraying and routing	
Check operation of hazard lights and audible devices		Fill cells on non maintenance-free batteries	
Check operation of signal lights and audible devices		Check battery hold downs for securement and cond.	
Verify Low Air alarm and light activate @ 68-74 PSI		Check charge rate (27.8-28.2 VDC w/fast idle on)	
Check operation of mirrors, heat, and dash indicators		Apply lube to battery tray slides	
Check air buildup: 90-120 within 5 min w/fast idle on		Check alignment of battery compartment door	
Check operation of horn		Inspect battery compartment door seals	
<i>Check operation of all indicator lamps</i>			
Check B/U lamps and warning alarm in Reverse		<b>UNDERCARRIAGE</b>	
Test Destination Sign for proper operation		Check front end alignment	
Check operation of P/A, mic, amp, and foot switch		Inspect suspension components for damage and wear	
Inspect driver's seatback, bottom, lumbar, and mounts		Check for proper ride height	
Inspect operation of driver's seatbelt		Inspect drag link and ends for damage and wear	
Inspect the tilt/telescopic function of the column		Inspect tie rods for damage, wear, and securement	
Test emergency alarm/destination sign activation		Inspect steering arms for damage and securement	
		Check kingpins for excessive movement	
<b>INTERIOR</b>		Inspect swaybar for damage, loose/worn components	
Inspect interior for damage, wear, and grafitti		Inspect air lines for chaffing, proper clamps/routing	
Inspect flooring for damage and wear		Inspect steering gear for leaks, securement, & damage	
Inspect glass for damage or grafitti		Inspect steering lines for leaks, damage, and routing	
Check operation and condition of visors and shades		Inspect power steering pump operation and condition	
Inspect step treads for damage and wear		Inspect steering column condition and operation	
Check rails and stanchions for damage/securement		Inspect steering column u-joints for wear	
Inspect w/c belts for operation and securement		Soap test air bags and inspect for leaks and condition	
Verify there are two spare belts per vehicle		Inspect brake application valve for leaks and condition	
Inspect emergency exits for operation and decals		Inspect brake chambers for leaks and condition	
Lubricate driver's seat and check adjusters		Record lining depth. Inspect for looseness or damage	
Inspect Accident/Vomit Kit for proper inventory		Inspect fuel tank straps for condition or damage	
Check operation of window latches and slides		Inspect fuel lines for chaffing, clamps, and leaks	
Check passenger seats for damage and grafitti		Inspect fuel cap for leaks and securement	
Check chime system, dash indicator, & ADA chime		Inspect frame for cracks and damage	

Inspect fire extinguisher charge, mount, & safety seal	Verify air governor cut-out @ 120#	
Inspect First-Aid Kit for proper inventory	Inspect air brake lines for chaffing, clamps, and leaks	
Check triangle kit for damaged components	Drain air tanks. Inspect for moisture and oil	
Check air intake filters and grills; replace as needed	Inspect relay valves for leaks and damage	
<b>UNDERCARRIAGE (continued)</b>		
check operation and condition of moisture ejector	If CEL on, use reader to retrieve codes	
Inspect slack adjusters. Maximum stroke: 1.5-2.0"		
Inspect pinion seals for leaks	<b>RADIATOR</b>	
Inspect axle gaskets for leaks	Inspect for leaks, dirt, and debris	
Inspect carrier to housing gasket for leaks	Inspect mounts and louvers for damage	
Inspect radius rods for wear, damage, and securement	Inspect all skirts and panels for damage	
Inspect lateral rod for wear, damage, and securement	Check surge tank, fill cap, and pressure cap	
Inspect shocks and bushings for wear and damage		
Inspect axle and pinion nuts for securement	<b>TRANSMISSION</b>	
Inspect axle housing mounts for cracks and damage	Inspect case for leaks, damage, and securement	
Inspect suspension mounts for cracks and damage	Inspect mounts for wear and damage	
Inspect propeller shaft for wear and damage	Inspect lines for wear, leaks, and damage	
Check u-joints for lock wire and tightness	Inspect transmission cooler for fluid leaks	
Inspect leveling valves for adjustment and leaks	Inspect retarder housing for leaks and securement	
<b>LUBRICATION</b>		
Lube all pivot points on bike rack	<b>BIKE RACK AND BIKE RACK AD SIGN</b>	
Lube exit door pins	Inspect rack for damage and function	
Lube windshield wiper pivot joints	Inspect latch for operation and damage	
Lube throttle pivots (RTS)	Inspect brush guard	
Lube upper rollers on entrance and exit doors	Check condition of paint	
Lube steering tie-rod ends (2 zerks)	Check securement of ad sign on bike rack	
Lube drag link ends (2 zerks)		
Lube kingpins (4 zerks) (raise axle to relieve pressure)	<b>VERICOM BRAKE TEST</b>	
Lube driveline u-joints (2 zerks)	Test #1:	
Lube driveline slip spline (1 zerk)	Test #2:	
Lube steering column u-joints (4 zerks)	Test #3:	
Lube engine door pivots		
Lube s-cam tubes (1 zerk per wheel position)	<b>MOTOR GUARD SYSTEM</b>	
Lube slack adjusters (1 zerk per wheel position)	Test coolant probe per manual	
Check oil level in differential. Change if contaminated	Test 'Hot Engine' shutdown per manual	
Drain engine oil	Test fire alarm per manual	
Replace engine oil filters	Test 'Low Oil' shutdown per manual	
Install and tighten engine oil drain plug		
Refill engine with 15/40 oil (40 wt on 2-cycle engines)	<b>BATTERY LOAD TEST RESULTS (minimum 9.6 VDC)</b>	
	Battery #1:	VDC
	Battery #2:	VDC
	Battery #3:	VDC
	Battery #4:	VDC
<b>ENGINE COMPARTMENT</b>		
Inspect belts and automatic tensioners	<b>WHEELCHAIR LIFT (except RTS)</b>	
Inspect engine for leaks and abnormal noises	Cycle lift and check for proper operation	
Inspect hydraulic tank for proper level and leaks	Test sensitive edges and mats	
Inspect transmission fluid level. Adjust as needed	Remove access panels and guards	
Test antifreeze strength	Inspect entire structure for cracks and damage	
Check coolant level in tank. Adjust as needed	Check for hydraulic leaks and chaffing hoses	
Inspect air induction system for leaks and securement	Inspect electrical components for chaffing/D37damage	
Inspect air restriction indicator for flag or damage	Inspect condition and adjustment of drive chains	
Inspect engine mounts for wear and securement	Apply lubrication to all pivots and chains	
Inspect air compresor for air, oil, and coolant leaks	Reinstall guards and pans	
Inspect air lines for leaks, chaffing, and clamps	Inspect hydraulic pump unit for leaks and connections	
Inspect charge air cooler for wear, damage, or leaks	Check oil level in hydraulic unit. Adjust as needed	
Drain water from fuel/water seperator	Recycle lift to ensure proper operation	
Inspect hydraulic system for leaks		
Inspect electrical wiring for chaffing and clamps		
Check operation of engine compartment lights	<b>VENTILATION SYSTEM</b>	
Inspect gauges and switches in rear-run control box	Inspect ventilation filter. Replace as needed	
Drain air box canister (2-cycle only)		



[illegible]

## APPENDIX E – VEHICLE MAINTENANCE ADDITIONAL RESOURCES

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1. American Public Transit Association's, *Manual for System Safety Program Plans*.  
<http://www.cutr.usf.edu/bussafety/documents/apta-sspp.pdf>
2. American Public Transit Association's, *Standard Bus Procurement Guidelines*.  
<http://www.cutr.usf.edu/bussafety/documents/apta-guide.pdf>
3. Florida's Vehicle Procurement Program.  
<http://www.cutr.usf.edu/research/fvpp/fvpp2.htm>
4. National Transit Institute's Procurement Training Offerings.  
<http://www.ntionline.com/topic.asp?TopicArea=1>
5. Community Transportation Association of America's Safety Inspection Checklist.  
<http://www.ctaa.org/data/safetyinspect.pdf>
6. Kansas Department of Transportation's, *Transit Vehicle Inspections: A Handbook for Rural Transit Providers*.  
<http://www.cutr.usf.edu/bussafety/documents/tvi-handbook.pdf>
7. Iowa Department of Transportation's, *Regional Transit Vehicle Daily Inspection Report*. <http://www.cutr.usf.edu/bussafety/documents/vif-iowa.pdf>
8. Utah Department of Transportation's, *Procedure for Vehicle Operation Inspection*.  
<http://www.cutr.usf.edu/bussafety/documents/voip-utah.pdf>
9. Utah Department of Transportation's, *Vehicle Records, Preventative Maintenance and Surveillance*.  
<http://www.cutr.usf.edu/bussafety/documents/vrpms-utah.pdf>
10. North Carolina Safety Resource Guide.  
<http://www.cutr.usf.edu/bussafety/documents/ncdot-cd/TABLE ~1.doc>
11. Federal Motor Carrier Safety Administration  
<http://www.fmcsa.dot.gov/rules-regulations/truck/driver/laws.htm>

## REFERENCES – VEHICLE MAINTENANCE

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1. American Public Transit Association. *Manual for the Development of Bus Transit System Safety Program Plans*. 1999.
2. Colorado Department of Transportation. *Transit Safety and Security Prototype Approach*. 2002.
3. Florida Department of Transportation, *Bus Transit System Review*, 2000.
4. Iowa Department of Transportation's, *Regional Transit Vehicle Daily Inspection Report, Form 020106 (03-02)*.
5. Kansas Department of Transportation's, *Transit Vehicle Inspections: A Handbook for Rural Transit Providers, and Pre-Trip Inspection Checklist*.
6. National Committee for Motor Fleet Supervisor Training and Certification, American Trucking Association. *Motor Fleet Safety Supervision Principles and Practices*. 5<sup>th</sup> Edition.
7. North Carolina Department of Transportation. *Model Vehicle Safety Program*.
8. Texas Department of Transportation, U.S. Department of Transportation and Federal Highway Administration. *Safety Guidelines for Rural and Small Urban Transit Agencies*. 2003.
9. Utah Department of Transportation's, *Vehicle Records, Preventative Maintenance and Surveillance*.
10. Federal Motor Carrier Safety Administration, *49 CFR 396 Inspection, Repair, and Maintenance, 396.1-396.25*.

# **Missouri's Model Transit Bus Safety and Security Program**

## **SECURITY**

### **System Security and Emergency Preparedness Plan (SSEPP)**

#### **SECTION FOUR**

**THIS DOCUMENT IS BASED ON:**

Ohio Department of Transportation- System Security and Emergency Preparedness Plan (SSEPP).  
Template is available on the CUTR website at: [www.cutr.usf.edu/bussafety/core/security.htm](http://www.cutr.usf.edu/bussafety/core/security.htm)

**MISSOURI DEPARTMENT OF TRANSPORTATION  
(MoDOT)  
TRANSIT SECTION**

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## UNIT ONE – INTRODUCTION TO SYSTEM SECURITY AND EMERGENCY PREPAREDNESS

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***This section is presented as a sample policy and procedures manual that may be adopted by a transit agency.***

### 1.1 Background

To establish the importance of security and emergency preparedness in all aspects of our organization, [NAME OF TRANSIT AGENCY] has developed this System Security and Emergency Preparedness (SSEP) Program Plan. This SSEP Program Plan outlines the process to be used by [NAME OF TRANSIT AGENCY] to make informed decisions that are appropriate for our operations, passengers, employees and communities regarding the development and implementation of a comprehensive security and emergency preparedness program.

As a result of this program, [NAME OF TRANSIT AGENCY] hopes to achieve not only an effective physical security program, but also to enhance our coordination with the local public safety agencies in our service area. Improved communication will increase their awareness of our resources and capabilities, and improve our readiness to support their efforts to manage community-wide emergencies.

In order to be effective, the activities documented in this SSEP Program Plan focus on establishing responsibilities for security and emergency preparedness, identifying our methodology for documenting and analyzing potential security and emergency preparedness issues, and developing the management system through which we can track monitor our progress in resolving these issues.

### 1.2 Authority

The authority for implementing the SSEP Program Plan resides with the [NAME OF TRANSIT AGENCY] Executive Director and the [NAME OF COUNTY TRANSIT BOARD] OR [INSERT OTHER ORGANIZATION].

This SSEP Program Plan has been developed by the Missouri Safety Center in cooperation with the Missouri Department of Transportation (MDOT); This Program supports our efforts to address requests from the Federal Transit Administration (FTA) to review our current levels of protection and to integrate security and emergency preparedness more fully into our operations.

### 1.3 Purpose, Goals and Objectives of SSEP Program

This Program demonstrates our process for addressing *system security and emergency preparedness*:

**System Security** – The application of operating, technical, and management techniques and principles to the security aspects of a system throughout its life to reduce threats and vulnerabilities to the most practical level through the most effective use of available resources.

**Emergency Preparedness** – A uniform basis for operating policies and procedures for mobilizing transit agency and other public safety resources to assure rapid, controlled, and predictable responses to various types of transit and community emergencies.

The SSEP Program will support [NAME OF TRANSIT AGENCY]'s efforts to address and resolve critical incidents on our property and within our community.

**Critical Incidents** – may include accidents, natural disasters, crimes, terrorism, sabotage, civil unrest, hazardous materials spills and other events that require emergency response. Critical incidents require swift, decisive action from multiple organizations, often under stressful conditions. Critical incidents must be stabilized prior to the resumption of regular service or activities.

Critical incidents often result from emergencies and disasters, but can be caused by any number of circumstances or events. Successful resolution of critical incidents requires the cooperative efforts of both public transportation and community emergency planning and public safety agencies.

[NAME OF TRANSIT AGENCY] has established criteria for a critical incident:

Element of Definition	Agency Threshold
Service Interruption	Inability to provide service
Duration of Interruption	2 hours (system-wide) 24 hours (single route)
Injuries and Fatalities	2 or more injuries requiring hospitalization 1 or more fatalities
Dollar Amount of Property Damage	> \$10,000

### □ 1.3.1 Purpose

The overall purpose of [NAME OF TRANSIT AGENCY]'s SSEP Program is to optimize; within the constraints of time, cost, and operational effectiveness -- the level of protection afforded to [NAME OF TRANSIT AGENCY]'s passengers, employees, volunteers and contractors, and any other individuals who come into contact with the system, both during normal operations and under emergency conditions.

### □ 1.3.2 Goals

The SSEP Program provides [NAME OF TRANSIT AGENCY] with a security and emergency preparedness capability that will:

1. Ensure security and emergency preparedness are addressed during all phases of system operation, including the hiring and training of agency personnel; the procurement and maintenance of agency equipment; the development agency policies, rules, and procedures; and coordination with local public safety and community emergency planning agencies
2. Promote analysis tools and methodologies to encourage safe system operation through the identification, evaluation and resolution of threats and vulnerabilities, and the on-going assessment of agency capabilities and readiness
3. Create a culture that supports employee safety and security and safe system operation (during normal and emergency conditions) through motivated compliance with agency rules and procedures and the appropriate use and operation of equipment

### □ 1.3.3 Objectives

In this new environment, every threat cannot be identified and resolved, but [NAME OF TRANSIT AGENCY] can take steps to be more aware, to better protect passengers, employees, facilities and equipment, and to stand ready to support community needs in response to a major event. To this end, our SSEP Program has five objectives:

1. Achieve a level of security performance and emergency readiness that meets or exceeds the operating experience of similarly-sized agencies around the nation
2. Increase and strengthen community involvement and participation in the safety and security of our system
3. Develop and implement a vulnerability assessment program, and based on the results of this program, establish a course of action for improving physical security measures and emergency response capabilities
4. Expand our training program for employees, volunteers and contractors to address security awareness and emergency management issues
5. Enhance our coordination with local and state emergency management plans



## 1.4 Scope

[NAME OF TRANSIT AGENCY]'s SSEP Program Plan is applicable to all aspects of current service, ensuring that our operations, training, coordination with local public safety agencies, and general security and emergency preparedness planning address concerns resulting from heightened threat levels. Key elements of the SCOPE of our SSEP Program Plan include:

1. An evaluation of our current capabilities to identify and prevent security incidents that may occur on our property
2. Development of a Vulnerability Assessment Program to identify our weaknesses and guide planning activities
3. Improved Physical Security
4. Review and expansion of our training program for security and emergency response
5. Enhanced emergency planning and procedures development
6. Improved coordination with the Public Safety Agencies in our service area.

## UNIT TWO – TRANSIT SYSTEM DESCRIPTION

---

### 2.1 Organizational Structure

*[Insert org chart if available]*

[Identify Name(s), Title(s) and placement within the organization for management and other personnel and identify the structure of the agency, including employees, volunteers, and contractors]

### 2.2 Operating Characteristics and Service

#### ☐ 2.2.1 Service Area

[Describe service area, including geographic boundaries and unique features]

#### ☐ 2.2.2 Service Design

[Identify type(s) of service\* provided]

\*for example:

- Fixed Route
- Demand Response
- Route Deviation
- Checkpoint Service
- Zone Service

- Vanpooling
- Carpooling/Rideshare
- Taxi Service
- Days of the week transit service is operated
- Times of day transit service is offered
- Special mobility services operated
- Other

## 2.3 Vehicles and Facilities

[Identify and describe vehicles and facilities (system elements) used by transit agency to provide service. Include number of vehicles that are accessible for people with disabilities.]

[In addition to the description of service vehicles and facilities, provide information regarding internal and external security attributes of the identified system elements (e.g., silent alarm buttons, fencing, lighting, burglar and intrusion detection systems, CCTV, etc.)

## 2.4 Measures of Service

[Identify key measures\* of service for agency]

\*for example:

- Mode of Service: Demand Response
- Total Vehicles: 6
- Total Trips: 30,693
- Total Expenses: \$150,929
- Revenue Vehicle Miles: 92,021
- Revenue Vehicle Hours: 7,119
- Cost per Trip: \$6.09
- Cost per Mile: \$2.36
- Cost per Hour: \$25.80
- Passengers per Revenue Mile: 0.49
- Passengers per Revenue Hour: 5.02

Measure of Service	Indicator

## UNIT THREE – SSEP PROGRAM ROLES AND RESPONSIBILITIES

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### 3.1 Philosophy

[NAME OF TRANSIT AGENCY] hopes to ensure that, if confronted with a security event or major emergency, [NAME OF TRANSIT AGENCY] personnel will respond effectively, using good judgment, ensuring due diligence, and building on best practices identified in drills, training, rules and procedures.

This level of proficiency requires the establishment of formal mechanisms to be used by all [NAME OF TRANSIT AGENCY] personnel to identify security threats and vulnerabilities associated with [NAME OF TRANSIT AGENCY]'s operations, and to develop controls to eliminate or minimize them. The SSEP Program also requires [NAME OF TRANSIT AGENCY]'s process for:

1. Coordinating with local law enforcement and other public safety agencies to manage response to an incident that occurs on a transit vehicle or affects transit operations, and
2. Identifying a process for integrating [NAME OF TRANSIT AGENCY]'s resources and capabilities into the community response effort to support management of a major event affecting the community.

[NAME OF TRANSIT AGENCY] management expects all employees, volunteers and contractors, especially those working directly with passengers, to support the SSEP Program.

### 3.2 Division of Responsibilities

#### □ 3.2.1 All Personnel

[NAME OF TRANSIT AGENCY] personnel must understand and adopt their specific roles and responsibilities, as identified in the SSEP Program, thereby increasing their own personal safety and the safety of their passengers, during normal operations and in emergency conditions.

To ensure the success of the SSEP Program, the following functions must be performed by [NAME OF TRANSIT AGENCY] personnel:

1. Immediately reporting all suspicious activity, no matter how insignificant it may seem, to the Executive Director or his/her designee;
2. Immediately reporting all security incidents
3. Using proper judgment when managing disruptive passengers and potentially volatile situations

4. Participation in all security and emergency preparedness training, including drills and exercises
5. Becoming familiar with, and operating within, all security and emergency preparedness procedures for the assigned work activity
6. Notifying the Executive Director or his/her designee when a physical or mental condition, or required medications or therapies, may impair the ability to perform security or emergency preparedness functions
7. Accurately completing “Employee Statements” on appropriate reports

### □ **3.2.2 Executive Director**

Under the authority of the [NAME OF TRANSIT AGENCY]’s Board of Directors, the Executive Director has the overall authority to develop and execute the agency’s SSEP Program. Ultimate accountability for implementation of the SSEP Program rests with the [NAME OF AGENCY] Executive Director. In addition, the Executive Director is responsible for the following specific activities:

1. Ensuring sufficient resources and attention are devoted to the SSEP Program, including:
  - Development of standard operating procedures related to employee security duties
  - Development and enforcement of safety and security regulations;
  - Development emergency operating procedures to maximize transit system response effectiveness and minimizing system interruptions during emergencies and security incidents;
  - Provision of proper training and equipment to employees to allow an effective response to security incidents and emergencies
2. Development of an effective notification and reporting system for security incidents and emergencies
3. Designating a Point of Contact (POC) to manage the SSEP Program
4. Communicating security and emergency preparedness as top priorities to all employees
5. Developing relationships with outside organizations that contribute to the SEPP Program, including local public safety and emergency planning agencies

### □ **3.2.3 SSEP Program Point of Contact (POC)**

To ensure coordinated development and implementation of the SSEP Program, the Executive Director has designated [INSERT TITLE] as the Security and Emergency Preparedness Point of Contact (POC) for development and implementation of the SSEP Program.

The POC, who reports directly to the Executive Director, has been granted the authority to utilize [NAME OF AGENCY] resources to develop the SSEP Program and Plan, to monitor its implementation, and to ensure attainment of security and emergency preparedness goals and objectives.

The [INSERT TITLE] has the responsibility for overseeing the SEPP Program on a daily basis. The [INSERT TITLE] will be the direct liaison with the agency's operators and dispatchers, regarding the Program. The [INSERT TITLE] will also serve as the [NAME OF AGENCY]'s primary contact with public agencies. To the extent that liaison is necessary with state and federal agencies, the [INSERT TITLE] will serve as the lead liaison for the agency. The [INSERT TITLE] will also be responsible for the security-related agenda items for Safety/Vehicle Accident Prevention Committee meetings and actions.

In managing this Program, the POC will:

1. Be responsible for successfully administering the SSEP Program and establishing, monitoring, and reporting on the system's security and emergency preparedness objectives
2. Review current agency safety, security and emergency policies, procedures, and plans, and identify needed improvements
3. Develop and implement plans for addressing identified improvements
4. Coordinate with local public safety agencies, local community emergency planning agencies, and local human services agencies to address security and emergency preparedness; including participation in formal meetings and committees
5. Develop, publish, and enforce reasonable procedures pertinent to agency activities for security and emergency preparedness
6. Provide adequate driver training and continuing instruction for all employees (and volunteers and contractors) regarding security and emergency preparedness
7. Review new agency purchases to identify security related impacts
8. Ensure performance of at least one emergency exercise annually

#### ☐ **3.2.4 Vehicle Accident Prevention Committee (VAP)**

Given the nature and scope of [NAME OF AGENCY] operations, it has been determined that a separate Security Committee is unnecessary. As a continuing responsibility of the Vehicle Accident Prevention (VAP)/Safety Committee, there will be a permanent agenda oriented toward security and emergency preparedness matters, ranging from comments on the management of the SSEP Program Plan to liaison with public agencies and feedback from employees. It will also be an ongoing part of the security agenda to determine the level of compliance with agency policies, rules, regulations, standards, codes, procedures, and to identify changes or new challenges as a result of incidents or other operating experience.

The [SSEP PROGRAM POC] will be responsible for MANAGING the security agenda during the VAP Committee meetings. When appropriate, members of local fire and police departments will be invited to participate in the security portion of the VAP Committee meetings.

The VAP Committee provides the primary mechanism through which the agency:

1. Identifies security conditions and problems at the agency
2. Organizes incident investigations and develops and evaluates corrective actions to address findings
3. Obtains data on agency security performance
4. Develops strategies for addressing agency security problems
5. Coordinates the sharing of security responsibilities and information
6. Manages the integration of security initiatives and policies in agency operations
7. Evaluates the effectiveness of the security program
8. Ensures document reviews and configuration management
9. Manages the development and revising of agency policies, procedures, and rulebook
10. Coordinates interaction with external agencies

The Committee also ensures that all agency employees, volunteers and contractors:

1. Have a full knowledge of the security program and emergency preparedness programs
2. Make security and emergency preparedness a primary concern while on the job
3. Cooperate fully with the agency regarding any incident investigation
4. Raise security and emergency preparedness concerns

### □ 3.2.5 Supervisors

Supervisors are responsible for communicating the transit agency's security policies to all employees, volunteers and contractors. For this reason, supervisors must have full knowledge of all security rules and policies. Supervisors must communicate those policies to [NAME OF TRANSIT AGENCY] operations personnel in a manner that encourages them to incorporate SSEP practices into their everyday work. The specific responsibilities of supervisors include the following.

1. Having full knowledge of all standard and emergency operating procedures.
2. Ensuring that personnel make security and emergency preparedness a primary concern when on the job.
3. Cooperating fully with the SSEP Program regarding any accident investigations as well as listening and acting upon any security concerns raised by the drivers.
4. Immediately reporting security concerns to the [INSERT TITLE].

In addition, when supporting response to an incident, supervisors are expected to:

1. Provide leadership and direction to employees during security incidents;
2. Handle minor non-threatening rule violations;

3. Defuse minor arguments;
4. Determine when to call for assistance;
5. Make decisions regarding the continuance of operations;
6. Respond to fare disputes and service complaints;
7. Respond to security related calls with police officers when required, rendering assistance with crowd control, victim/witness information gathering, and general on-scene assistance;
8. Complete necessary security related reports;
9. Take photographs of damage and injuries;
10. Coordinate with all outside agencies at incident scenes

#### □ **3.2.6 Drivers**

In addition to the general responsibilities identified for ALL PERSONNEL, drivers (including volunteers and contractors) are responsible for exercising maximum care and good judgment in identifying and reporting suspicious activities, in managing security incidents, and in responding to emergencies. Each driver will:

1. Take charge of a security incident scene until the arrival of supervisory or emergency personnel
2. Collect fares in accordance with agency policy (if applicable)
3. Attempt to handle minor non-threatening rule violations
4. Respond verbally to complaints
5. Attempt to defuse minor arguments
6. Determine when to call for assistance
7. Maintain control of the vehicle
8. Report all security incidents to agency dispatch
9. Complete all necessary security related reports
10. Support community emergency response activities as directed by [NAME OF TRANSIT AGENCY] policies and procedures

#### □ **3.2.7 Other Personnel**

Other personnel who support [NAME OF TRANSIT AGENCY] also have responsibilities for the SSEP Program.

Dispatchers are expected to:

- Receive calls for assistance
- Dispatch supervisors and emergency response personnel
- Coordinate with law enforcement and emergency medical service communications centers
- Notify supervisory and management staff of serious incidents
- Establish on-scene communication
- Complete any required security related reports
- Provide direction to on-scene personnel



Mechanics (including volunteers and contractors) are expected to:

- Report vandalism
- Report threats and vulnerabilities of vehicle storage facilities
- Provide priority response to safety and security critical items such as lighting
- Maintain facility alarm systems

Human Resources personnel are responsible for:

- Ensuring all pre-employment screening processes are carried out effectively
- Notifying the Executive Director of employee disciplinary action that may result in the affected employee becoming a risk to [NAME OF TRANSIT AGENCY] facilities, systems, passengers, employees or other assets
- Educating employees on employee ID policy and procedure

Communications (Marketing-Customer Service-Community Relations) are responsible for:

- Requesting assistance from transit public safety resources as needed for special events
- Providing insight into potential threats and vulnerabilities through feedback from customer focus groups and other information sources
- Designating a Public Information Officer (PIO) for media contact regarding security incidents and issues
- Coordinating community oriented policing efforts and programs with officers assigned to community oriented policing duties by the Public Safety and Security Administrator

### 3.3 Responsibility Matrices

The operation and maintenance of [NAME OF TRANSIT AGENCY] requires a continual emphasis on security, from the procurement of new systems and equipment, through the hiring and training of employees, to the management of the agency and the provision of service, to the rehabilitation and disposal of existing equipment and facilities. The security function must be supported by an effective capability for emergency response, both to support resolution of those incidents that occur on transit property and those events that affect the surrounding community served by [NAME OF TRANSIT AGENCY].

Tasks have been identified to provide direction in implementation of this SSEP Program. These tasks are ongoing and are considered minimum requirements. Tasks are identified in the matrices below. Also, organizational/participant responsibilities for each task are identified, as designated by the following code:

- P** **Primary Task Responsibility.** The identified participant(s) is responsible for the preparation of the specified documentation.
- S** **Secondary or Support Responsibility.** The identified participant(s) is to provide the necessary support to accomplish and document the task.
- R** **Review/Comment Responsibility.** The identified participant(s) is to review and provide comment on the task or requirement.
- A** **Approval Responsibility.** The identified participant(s) is to review, comment and subsequently approve the task or requirement.



### □ 3.3.1 System Security Matrix

[A security task matrix should be presented showing interfaces with other units and the key activities required, including the frequency of those activities]

Frequency: Daily (D); Monthly (M); Quarterly (Q); Yearly (Y); As Required (AR)

System Security Tasks	Exec Dir	POC	VAP	Ops & Maint	Hum Res	Finance	Frequency
<i>Conduct criminal background investigations of employment applicants</i>	<i>R</i>	<i>S</i>	<i>S</i>		<i>P</i>		<i>AR</i>

### □ 3.3.2 Emergency Preparedness Matrix

[An emergency preparedness task matrix should be presented showing interfaces with other units and the key activities required, including the frequency of those activities]

Frequency: Daily (D); Monthly (M); Quarterly (Q); Yearly (Y); As Required (AR)

Emergency Preparedness Tasks	Exec Dir	POC	VAP	Ops & Maint	Hum Res	Finance	Frequency

### 3.4 Existing SSEP Capabilities and Practices

[Summarize methods and procedures, devices, and systems utilized by the transit agency to minimize and respond to security incidents and emergencies\*]

\*A summary of the existing proactive methods, procedures, and actions to prevent, deter, or minimize security incidents includes:

- Emphasis on agency personnel awareness
- Participation in MoDOT training
- Review of MoDOT materials
- Analysis of security incidences and suspicious activity to determine a proper course of action including:
  - Identifying potential and existing problem areas
  - Developing action plans
  - Implementing the plans
  - Measuring results
- Hosting an annual meeting with local law enforcement
- Participating in an annual meeting with local emergency management agency
- Review of local and transit agency emergency plans
- Review of FTA documentation on system security and emergency preparedness

A summary of other existing proactive actions and systems to prevent, deter or minimize security incidences includes\*:

- Conducting security surveys with local law enforcement as a formal threat and vulnerability analysis process
- Local police notification/participation in employee discharge and/or discipline process as needed
- Evaluation of security/emergency response procedures for completeness and accuracy
- Participation by local law enforcement in training of new drivers as requested to increase awareness in security matters
- Presentations by local police and transit agency personnel to employees, the public or other groups interested in transit security matters
- Development and distribution of crime prevention information on agency brochure for passengers and the public

### 3.5 Training and Exercising

*[Transit agency should formulate SSEP Program training and exercising plan taking into account the considerations identified below]*

1. This section should describe basic and refresher security- and emergency-related training programs for personnel with associated responsibilities

2. Description of all security-related training including refresher for non-security staff provided, including content, duration, grading standards, and maintaining course content for each training class.
3. Description of the process used to identify security-related training needs, to develop and present training classes, and to determine qualifications for instructors.
4. This section should explain how the transit agency determines what training to offer and ensures that all individuals are trained appropriately. This should include a discussion of the required qualifications for instructors

### **3.6 Coordination with Local Public Safety Agencies**

[Identify (by name and contact number) the local law enforcement, fire services, emergency medical services, and emergency planning agencies within the transit agency's service area]

To support improved emergency and incident preparedness and response, [*NAME OF TRANSIT AGENCY*] will participate in, at a minimum, one exercise or drill with local public safety organizations in order to:

- Review current plans and policies
- Identify current security and emergency considerations\*
- Develop procedures (if necessary)
- Establish and maintain ongoing communication

### **3.7 Coordination with Other Transit Agencies**

[Identify (by name and contact number) transit agencies within your county or neighboring counties that may need to be contacted in the event of a critical incident]

## **UNIT FOUR – THREAT AND VULNERABILITY RESOLUTION PROCESS**

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Threat and vulnerability assessment offers [*NAME OF TRANSIT AGENCY*] the ability to identify critical assets and their vulnerabilities to threats, to develop and implement countermeasures, and to monitor and improve program effectiveness. This analysis is guided by clear investigation of three critical questions:

1. Which assets can we least afford to lose?
2. What is our responsibility to protect these assets?
3. Where do we assume total liability for risk, and where to we transfer risk to local public responders, technical specialists, insurance companies, and the Federal government?

## 4.1 Threat and Vulnerability Identification

The [NAME OF TRANSIT AGENCY] utilizes two primary methods to identify the threats to the transit system and the vulnerabilities of the system; first, the periodic inspection of facilities; second, the collection of incident reports submitted by drivers and supervisors and information provided by local law enforcement and contractors.

All agency facilities will be regularly inspected to assess security vulnerabilities and evaluate potential threats.

- a. At least annually (preferably semi-annually) the director, or his/her designated representative, will arrange for local law enforcement personnel to conduct a security assessment of each agency facility (this will include out of service vehicle storage and when practical, procedures for securing in-service vehicles). The intent is to provide input to agency staff on the level of security exercised in the agency, identify areas of concern, and identify potential corrective actions. The agency conducting the assessment will provide a written report to the agency director.
- b. Monthly the director, or his/her designated representative, will conduct a walk through inspection of all agency facilities. The purpose of this inspection is to conduct a cursory review of agency security operations. At a minimum the individual(s) conducting the inspection will:
  - Assess the use of id badges (if issued)
  - Assess the enforcement of limited access policies to sensitive areas
  - Assess whether or not sensitive file cabinets and document storage are kept locked and secured.
  - Assess whether or not agency vehicles are kept secured when unattended
  - Assess whether or not general access policies to work areas are being enforced
  - Other issues as identified by management.

A written summary of each inspection will be circulated to staff noting strengths and weaknesses identified. A record of inspections will be maintained in the director's office.

- c. On a weekly basis agency supervisors will conduct a security assessment of their assigned area. The intent of these inspections is to provide a cursory review of conditions in all agency work areas looking for anything out of place. These inspections will not follow a prescribed routine but should focus on the general safety and security of each agency work space. Discrepancies noted will be reported in writing through the agency chain of command. A log of inspections will be maintained and submitted as requested by the director or his/her designated representative.

The security information noted above will be collected and assessed based on the following informational resources:

- Operator incident reports
- Risk management reports
- Bus maintenance reports
- Marketing surveys
- Passengers' letters and telephone calls
- Management's written concerns
- Staff meeting notes
- Statistical reports
- Special requests
- Type of incidents
  - Crimes against persons
  - Crimes against property
  - General incidents
- Disposition of incidents (same as disposition of call for service)

The VAP Committee will review security information resources and determine if additional methods should be used to identify system threats and vulnerabilities such as a formal evaluation program to ensure security procedures are maintained and security systems are operable.

Security testing and inspections may be conducted to assess the vulnerability of the transit system. Testing and inspection include the following three-phase approach:

- Equipment preparedness - to ensure security equipment is operable and in the location where it belongs
- Employee proficiency - To ensure employees know how and when to use security equipment
- System effectiveness - To evaluate security by employing security system exercises.

## **4.2 Threat and Vulnerability Assessment**

The threats that are most likely to occur include the following disruptive incidents:

- Drunkenness
- Disorderly conduct
- Disputes
- Minor assaults

Other potential occurrences include:

- Fare evasion
- Loud radios
- Inappropriate behavior
- Smoking
- Littering
- Eating/drinking

In the table below, the VAP Committee has made an assessment concerning how susceptible each system element of [NAME OF TRANSIT AGENCY] is to each listed threat.

The VAP Committee uses a scale of 1 to 4 for ranking each system element's vulnerability, one being the lowest (or not vulnerable), to four being the most vulnerable.

[illegible]

[Note: the list should be detailed, for example each bus route or each garage. The 'Threats' heading should list all crimes that have occurred or may occur on the system] for threat and vulnerability resolution and prevention of incidents the VAP Committee will review current methods of threat resolution to determine if additional means can be identified to address security risks through three possible alternative approaches:

1. Eliminate
2. Mitigate
3. Accept

Each approach will be investigated by the VAP Committee to determine and develop a course of action acceptable by *[NAME OF TRANSIT AGENCY]* management.

## UNIT FIVE – EVALUATION AND MODIFICATION OF THE SSEP

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### 5.1 Evaluation

#### 5.1.1 Internal

The SSEPP is a “living document” and needs to address issues associated with system security and emergency preparedness on a timely and proactive basis. It is incumbent upon all appropriate personnel of the *[NAME OF TRANSIT AGENCY]* to constantly evaluate the effectiveness of the SSEPP as well as implementation. The SSEPP POC *[ENTER TITLE]* will work with the VAP to ensure that the SSEPP is evaluated for effectiveness *[ENTER TIME FRAME]*.

#### 5.1.2 External

The SSEPP POC *[ENTER TITLE]* will also serve as the agency liaison with external agencies involved in the auditing of existing procedures associated with the SSEPP. *[liability insurers may want to audit the implementation of the SSEPP]*

### 5.2 Modification and Update

If during the internal or external evaluations, or based upon SSEP Program findings and activities, the *[NAME OF TRANSIT AGENCY]* will revise its SSEPP and supporting documentation and training to reflect new practices, policies, and procedures. The VAP is responsible for screening changes and modifications to facilitate ongoing revisions to keep the SSEPP current.



## APPENDIX - SECURITY

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## APPENDIX A – VEHICLE SAFETY PROGRAM IMPLICATION

This appendix shows how to add security and emergency planning/response responsibilities to existing transit agency safety management structures. Most agencies have a “Vehicle Safety Program Plan.” The security and emergency planning/response functions can be blended into this plan structure with a minimum of disruption to existing agency organizational activities. In larger agencies it is probably desirable to create a separate management structure to address security and emergency planning/response functions but smaller agencies will likely lack the necessary resources to do this. Thus, integrating security and emergency planning/response functions with safety functions is the only sensible approach.

### Guidelines for Rural and Small Urban Vehicles Safety Program Plans

VEHICLE SAFETY PROGRAM PLAN		COVERED POLICIES AND PROCEDURES	ADDITIONAL ISSUES IN SSEP PROGRAM
SECTION	TITLE		
1	MANAGEMENT COMMITMENT	<ul style="list-style-type: none"> <li>➤ Safety Policy Statement</li> </ul>	<ul style="list-style-type: none"> <li>➤ MEMORANDUM AUTHORIZING SYSTEM SECURITY AND EMERGENCY PREPAREDNESS (SSEP) PROGRAM</li> </ul>
2	COMPLIANCE RESPONSIBILITIES	<ul style="list-style-type: none"> <li>➤ Executive Director</li> <li>➤ Drivers, mechanics and others operating agency vehicles (and volunteers)</li> <li>➤ Vehicle Accident Prevention (VAP) Committee</li> <li>➤ Safety incentive program(s)</li> </ul>	<ul style="list-style-type: none"> <li>➤ EXPANDED TO ADDRESS SSEP PROGRAM</li> <li>➤ CREATION OF SSEP PROGRAM POINT OF CONTACT (POC)</li> <li>➤ NEW RESPONSIBILITIES FOR VAP COMMITTEE</li> <li>➤ SSEP PROGRAM AGENDA FOR QUARTERLY VAP COMMITTEE MEETINGS</li> </ul>
3	DRIVERS – INITIAL HIRE	<ul style="list-style-type: none"> <li>➤ Qualifications</li> <li>➤ Initial Training</li> </ul>	<ul style="list-style-type: none"> <li>➤ COMMITMENT TO ADDRESS SSEP ISSUES IN HIRING</li> </ul>

VEHICLE SAFETY PROGRAM PLAN		COVERED POLICIES AND PROCEDURES	ADDITIONAL ISSUES IN SSEP PROGRAM
SECTION	TITLE		
	QUALIFICATIONS	<ul style="list-style-type: none"> <li>➤ Application</li> <li>➤ Interviews</li> <li>➤ Physical Requirements</li> <li>➤ Age</li> <li>➤ Knowledge of English</li> <li>➤ Driver Licensing</li> <li>➤ Operating Skills</li> <li>➤ Criminal Record Checks</li> <li>➤ Ability to perform simple math</li> <li>➤ Reasonable knowledge of the service area and ability to read basic maps</li> <li>➤ A road test given by a designated Agency Supervisor is required</li> <li>➤ A written driving skills test is required</li> </ul>	<ul style="list-style-type: none"> <li>➤ EXPANSION OF NEW HIRE BACKGROUND CHECK</li> <li>➤ EXPANSION OF NEW HIRE APPLICATION PROCESS TO EMPHASIZE IMPORTANCE OF SAFETY, SECURITY AND EMERGENCY PROCEDURES</li> </ul>

VEHICLE SAFETY PROGRAM PLAN		COVERED POLICIES AND PROCEDURES	ADDITIONAL ISSUES IN SSEP PROGRAM
SECTION	TITLE		
	INITIAL TRAINING	<ul style="list-style-type: none"> <li>➤ Agency Policies and Procedures</li> <li>➤ Federal and State Guidelines and Regulations</li> <li>➤ Pre and Post Trip Inspections</li> <li>➤ Vehicle Familiarization</li> <li>➤ Basic Operations and Maneuvering</li> <li>➤ Special Driving Conditions</li> <li>➤ Backing</li> <li>➤ Bad Weather</li> <li>➤ Boarding and Alighting Passengers</li> <li>➤ Defensive Driving Course (DDC)</li> <li>➤ Passenger Assistance Training – DRIVE Training</li> <li>➤ On Road</li> </ul>	<ul style="list-style-type: none"> <li>➤ ADDITIONAL TRAINING TO ADDRESS SECURITY AWARENESS, REPORTING SUSPICIOUS ACTIVITY, REPORTS AND DOCUMENTATION, AND PRE AND POST TRIP INSPECTIONS</li> </ul>

VEHICLE SAFETY PROGRAM PLAN		COVERED POLICIES AND PROCEDURES	ADDITIONAL ISSUES IN SSEP PROGRAM
SECTION	TITLE		
4	<b>DRIVERS – ONGOING SUPERVISION AND TRAINING</b>	<ul style="list-style-type: none"> <li>➤ Training - refresher/retraining</li> <li>➤ Evaluation and supervision</li> <li>➤ Motor vehicle record checks</li> <li>➤ Annual physical examination</li> <li>➤ Safety meetings</li> <li>➤ Seat-belt usage</li> <li>➤ Discipline/recognition</li> <li>➤ Preventable accidents/injuries</li> </ul>	<ul style="list-style-type: none"> <li>➤ ADDITIONAL REFRESHER TRAINING AND “PROFICIENCY TESTS” FOR KNOWLEDGE OF EMERGENCY PROCEDURES</li> <li>➤ ADDITIONAL RESPONSIBILITIES FOR SUPERVISION</li> </ul>
5	<b>EMERGENCY DRIVING PROCEDURES</b>	<ul style="list-style-type: none"> <li>➤ Emergency driving procedures</li> <li>➤ Accident causes <ul style="list-style-type: none"> <li>○ Slippery road surfaces</li> <li>○ Driving at night</li> <li>○ Driving through water</li> <li>○ Winter driving</li> <li>○ Driving in very hot weather</li> </ul> </li> <li>➤ Vehicle breakdowns and unavoidable stops</li> <li>➤ Vehicle fire/evacuation</li> <li>➤ Hold up/robbery</li> <li>➤ Natural disasters</li> </ul>	<ul style="list-style-type: none"> <li>➤ EXPANSION OF EMERGENCY PROCEDURES TO INCLUDE ADDITIONAL SECURITY AND EMERGENCY CONDITIONS</li> <li>➤ EXPANSION OF EMERGENCY PROCEDURES TO INCLUDE SUPPORT OF COMMUNITY RESPONSE TO A MAJOR EVENT OR EMERGENCY</li> <li>➤ EMERGENCY TRAINING AND EXERCISING</li> </ul>

VEHICLE SAFETY PROGRAM PLAN		COVERED POLICIES AND PROCEDURES	ADDITIONAL ISSUES IN SSEP PROGRAM
SECTION	TITLE		
		<ul style="list-style-type: none"> <li>○ Tornado</li> <li>○ Flood procedures - vehicle</li> </ul>	
6	PASSENGER SAFETY	<ul style="list-style-type: none"> <li>➤ General guidelines</li> <li>➤ Seat-belts</li> <li>➤ Child safety seats</li> <li>➤ Mobility device securement and passenger restraint systems</li> <li>➤ Difficult passengers</li> <li>➤ Medical condition</li> <li>➤ First aid</li> <li>➤ Blood borne pathogens/infection control</li> </ul>	<ul style="list-style-type: none"> <li>➤ EXPANSION OF PROCEDURES FOR MANAGING DIFFICULT PASSENGERS</li> <li>➤ CLARIFICATIONS REGARDING FIRST AID AND BLOODBORNE PATHOGENS/INFECTION CONTROL</li> </ul>
7	VEHICLES & EQUIPMENT	<ul style="list-style-type: none"> <li>➤ Vehicles &amp; equipment</li> <li>➤ Preventive maintenance</li> <li>➤ Program development</li> <li>➤ Preventive maintenance needs</li> <li>➤ Preventive maintenance program</li> <li>➤ Format for preventive maintenance program for transit vehicles</li> <li>➤ Master vehicle service and repair record – maintenance</li> </ul>	<ul style="list-style-type: none"> <li>➤ EXPANSION OF VEHICLE SECURITY PROCEDURES</li> <li>➤ EXPANSION OF MAINTENANCE PROCEDURES FOR IDENTIFYING AND REPORTING VANDALISM, SUSPICIOUS SUBSTANCES, OR VEHICLE TAMPERING</li> <li>➤ EXPANSION OF VEHICLE PROCUREMENT PROCEDURES</li> </ul>

VEHICLE SAFETY PROGRAM PLAN		COVERED POLICIES AND PROCEDURES	ADDITIONAL ISSUES IN SSEP PROGRAM
SECTION	TITLE		
		<ul style="list-style-type: none"> <li>history</li> <li>➤ Preventive maintenance intervals               <ul style="list-style-type: none"> <li>○ A Level Inspection</li> <li>○ B Level Inspection</li> <li>○ C Level Inspection</li> </ul> </li> <li>➤ Pre &amp; post trip inspections</li> <li>➤ Emergency equipment on vehicles and usage</li> <li>➤ Use of emergency equipment on vehicles</li> <li>➤ Vehicle procurement               <ul style="list-style-type: none"> <li>○ Exterior</li> <li>○ Visibility</li> <li>○ Interior</li> </ul> </li> <li>➤ Vehicle security</li> <li>➤ Vehicle safety in and around the shop or yard</li> </ul>	TO ADDRESS SECURITY TECHNOLOGY
8	ACCIDENT MANAGEMENT	<ul style="list-style-type: none"> <li>➤ Accident documentation packet</li> <li>➤ Accident notification procedures – driver responsibility</li> <li>➤ Accident investigation – management responsibility</li> </ul>	<ul style="list-style-type: none"> <li>➤ ADDITIONAL TOOLS FOR ACCIDENT DOCUMENT PACKET TO ADDRESS SECURITY</li> <li>➤ ADDITIONAL TOOLS FOR MEDIA RELATIONS</li> </ul>

VEHICLE SAFETY PROGRAM PLAN		COVERED POLICIES AND PROCEDURES	ADDITIONAL ISSUES IN SSEP PROGRAM
SECTION	TITLE		
		<ul style="list-style-type: none"> <li>➤ Accident investigation kit</li> <li>➤ Reconstruction &amp; analysis</li> <li>➤ Drug and alcohol tests</li> <li>➤ Media relations and crises communication after an accident</li> </ul>	
9	INSURANCE CLAIMS AND LITIGATION MANAGEMENT	<ul style="list-style-type: none"> <li>➤ Dealing with adjusters</li> <li>➤ Dealing with attorneys – ours/theirs</li> </ul>	➤ ADDITIONAL CONSIDERATIONS FOR COVERAGE
10	DAY TO DAY OPERATIONS – MONITORING FOR SAFETY	<ul style="list-style-type: none"> <li>➤ Record keeping</li> <li>➤ Keeping informed <ul style="list-style-type: none"> <li>○ Websites</li> <li>○ Publications</li> </ul> </li> </ul>	➤ ADDITIONAL REPORTS FOR SECURITY-RELATED INCIDENTS



## APPENDIX B – EVALUATION, ASSESSMENT AND DATA COLLECTION EMERGENCY RESPONSE, PLANNING AND COORDINATION

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### 1. Evaluation of Likely Security Threats and Emergency/Disaster Response Situations

Before an agency can actually begin emergency response planning it must understand the likely security threats it faces and the disaster/emergency situations it might be involved in. The discussion of this process will be divided into two sections Security and Emergency/Disaster Response.

#### A. Security

The agency should begin by establishing liaison with local law enforcement (local police department and local sheriff's office). Liaison should not be limited to local agencies but should also include, at a minimum, the Missouri State Highway Patrol Troop in whose jurisdiction the transit agency operates. These law enforcement agencies can assist the transit agency with a physical security assessment of the transit agency's facilities and vehicles and routes. An evaluation of the external threats (including terrorism) should also be included in this initial evaluation. This information becomes the basis for initial security planning and adjustment of transit agency operating procedures to meet potential threats.

As part of the liaison arrangement the transit agency should negotiate a process for regularly up-dating the threat assessment (at least quarterly), and for up-dating the physical security assessment at least annually. Factors to be considered in this security assessment include, but are not limited to:

1. Has a Security Plan been established that addresses all operations modes and contracted services?
2. Are systems security responsibilities and duties established?
3. Does the transit agency provide personal safety awareness/education programs for passengers and employees?
4. Is security equipment issued to security personnel regularly inspected, maintained and functionally tested (i.e. clothing, special tools, weapons, detection devices)?
5. Have contingency SOPs been developed and are drills and table-top exercises conducted for extraordinary circumstances:
  - a. Terrorism (including chemical/ biological agents/ weapons of mass destruction)
  - b. Riot/Domestic unrest
  - c. Catastrophic natural events
  - d. System-wide communications failure

6. Are planning, coordination, training and mutual aid agreements with external agencies (state, local police, FBI and other federal agencies) in place, and are they regularly reviewed and up-dated?
7. Are Security SOPs reviewed on a regular basis and updates made as needed to the Security Plan?
8. Is security equipment at facilities and on vehicles, inspected, and maintained to monitor trespass activities?
9. Is data collection established for all security issues/incidents, analysis performed and recommendations made, document control established, including follow-up?
10. Are security risk/vulnerability assessments conducted, documented and reviewed?
11. Are contingency plans for loss of electrical power and radio or phone communications in place, and are they exercised regularly to ensure they work?
12. Do Standard Operating Procedures for critical incident command, control, and service continuation/restoration exist? Are they regularly reviewed and up-dated?
13. Is security training provided to all staff levels (from front-line “eyes and ears” concept to professional level security training)?
14. Are background checks on employees and contractors (where applicable) carried out?
15. Are regular assessments of employee security proficiencies conducted?
16. Are emergency contacts list developed, kept current and responsibilities for call-outs identified?
17. Are visitor, deliveries and contractor facility access procedures developed and actually utilized?
18. Are concepts of crime prevention through environmental design (CPTED) applied in reviews of facilities and in new design and modifications?
19. Are security checklists developed and regularly used for verifying status of physical infrastructure and security procedures?
20. Are agency employees identifiable by visible identification and/or uniform?
21. Are policies and procedures in place for facilities and vehicle key control?  
(These points are intended to only guide the physical security and external threat assessment process. It is important that agency staff and board members be aware of their operational environment, this will facilitate understanding of and preparation for the likely security risks to the agency.)

## **B. Emergency/Disaster Response Planning and Coordination**

The transit agency should be prepared to respond to a variety of emergency situations within its service area. The transit agency should not take on a first responder role, unless the emergency/disaster involves agency vehicles or facilities and then the first responder role is limited to that time before emergency agencies arrive on scene. However, there are a variety of situations and scenarios where emergency response agencies may need transit agency assets. Procedures should be worked out in advance for requesting and deploying those assets. Toward that end the transit agency should establish liaison with the local emergency management agency (probably at county level); local fire departments within the transit agency's service area; local emergency medical service providers (may be the fire department or may be separate); local law enforcement agencies (police and sheriff); private non-profit agencies (Red Cross, Salvation Army, etc). Factors to consider when establishing these relationships and planning for these contingencies include, but are not limited to:

1. Is emergency response planning, coordination, and training formalized and documented?
2. Are responsibilities of employees identified by function?
3. Has a service continuation, restoration/recovery plan been developed? Has it been tested? Is it regularly up-dated to reflect changes in agency (or local) conditions?
4. Are emergency drills and table-top exercises scheduled and conducted on a regular basis?
5. Has coordination and training with outside agencies taking place? Do those outside agencies, at a minimum, include?
  - a. fire
  - b. rescue units
  - c. hospitals
  - d. emergency medical providers
  - e. law enforcement
  - f. hazardous materials response/environmental agencies
  - g. local office of emergency management
  - h. non-governmental agencies
  - i. school districts
  - j. nursing homes
6. Have media relations/information control procedures and policies been established (internal and external to agency)?
7. Is there documentation of drills, training and exercises? Is there evidence the transit agency applies lessons learned?

8. Are emergency procedures reviewed by management on a regular basis and updated as needed?
9. Are procedure revisions and updates incorporated into evacuation procedures; SOPs developed for signature(s) and distribution?
10. Are regular assessments of employee proficiency conducted?
11. Are emergency contacts list developed, kept current and is responsibility for call-outs identified?
12. Is emergency evacuation routing for transit vehicles developed and practiced?
13. Are employees issued quick reference guidelines for emergency situations?
14. Are support systems developed to provide post-incident support to passengers and employees?
15. Is there regular functional testing/inspection of emergency support equipment and systems?
16. Has there been a pre-determination of factors that would require partial or full service shut-down? Is a response to these factors practiced at least annually?
17. Do contingency plans exist for loss of electrical power and radio or phone communications? Are these plans practiced at least annually?

As implied throughout this appendix the planning and coordination of security and emergency/disaster response functions is really a two step process.

1. Initially the agency has to evaluate what the potential security threats and potential emergency/disaster response scenarios are. As noted, this is done primarily through consultation with outside agencies familiar with these issues in the local area. The results of this initial consultation should be submitted to the agency board in both a briefing and written format. The purpose is to stimulate discussion and result in the board setting priorities for the director and staff. The board should establish a cycle for periodic review/up-date of threats and response contingencies.
2. Based on this initial assessment the transit agency must begin developing plans and procedures to meet likely threats and contingencies. Development of plans can be based on priorities set by the board and be phased in over time (assuming only limited plans and procedures exist when this process starts). The guiding factor would be the most likely threats and emergency/disaster contingencies.

If starting from a very limited, or non-existent, preparation base this assessment and planning phase could take several years. Growing out of this process should be an on-going assessment and planning cycle customized to the transit agencies specific needs and responsibilities.

## APPENDIX C – BOMB THREAT CHECKLIST AND PROCEDURES

Exact time and date of  
call:

Exact words of caller:

### Voice

- ☐ Loud
- ☐ High Pitched
- ☐ Raspy
- ☐ Intoxicated
- ☐ Soft
- ☐ Deep
- ☐ Pleasant
- ☐ Other
- ☐ Raspy
- ☐ High Pitched
- ☐ Loud

### Accent

- ☐ Local
- ☐ Foreign
- ☐ Race
- ☐ Not Local
- ☐ Region
- ☐ Local
- ☐ Foreign
- ☐ Race
- ☐ Not Local
- ☐ Region

### Manner

- ☐ Calm
- ☐ Rational
- ☐ Coherent
- ☐ Deliberate
- ☐ Righteous
- ☐ Angry
- ☐ Irrational
- ☐ Incoherent
- ☐ Emotional
- ☐ Laughing

### Background Noise

- ☐ Factory Machines
- ☐ Bedlam
- ☐ Music
- ☐ Office Machines
- ☐ Mixed
- ☐ Street Traffic
- ☐ Trains
- ☐ Animals
- ☐ Quiet
- ☐ Voices
- ☐ Airplanes
- ☐ Party Atmosphere

### Language

- ☐ Excellent
- ☐ Fair
- ☐ Foul
- ☐ Good
- ☐ Poor
- ☐ Other
- ☐ Pleasant
- ☐ Other
- ☐ Raspy

### Speech

- ☐ Fast
- ☐ Distinct
- ☐ Stutter
- ☐ Slurred
- ☐ Slow
- ☐ Distorted
- ☐ Nasal
- ☐ Lisp
- ☐ Other

### Familiarity with Threatened Facility

- ☐ Much
- ☐ Some
- ☐ None

### **Questions to Ask the Caller**

When is the bomb going to explode?

Where is the bomb?

What does it look like?

What kind of bomb is it?

What will cause it to explode?

Did you place the bomb?

Why did you place the bomb?

Where are you calling from?

What is your address?

What is your name?

### **Observations**

If the voice is familiar, whom did it sound like?

Were there any background noises?

Telephone number call received at:

Person receiving call:

Any additional remarks:

## Bomb Threat Procedures

In recent years the use and threatened use of explosives in our society has increased at an alarming rate. Organizations must prepare a plan of action to respond effectively. This brief provides guidelines that will assist transit agencies in developing a procedure specific to their particular environment.

### Steps to Be Considered

When faced with a bomb threat, the primary concern must always be the safety of passengers, employees, and emergency responders. Many transit agencies already have a disaster or emergency procedure for responding to smoke, fire, or medical emergencies in stations, administrative facilities, and shops/yards. Several aspects of these procedures remain viable in a bomb threat procedure.

However, new problems must be addressed when a bomb threat is received. For example, in the instance of a fire, effort is directed at evacuating the occupants in a quick and orderly manner. In the case of a bomb threat, if evacuation is initiated, the exit routes and assembly areas should be searched prior to vacating the premises. The potential hazard remains when a building is evacuated before a search has been made. Personnel cannot safely re-occupy the building and resume normal activities until a search has been conducted. Such problems require a procedure with 7 logical steps:

- Step 1: Threat Reception
- Step 2: Threat Evaluation
- Step 3: Search Procedure
- Step 4: Locating Unidentified Suspicious Objects
- Step 5: Evacuation Procedure
- Step 6: Re-occupation of Building
- Step 7: Training of Essential Personnel

Each of these steps is discussed below:

### Step 1: Threat Reception

Threats are transmitted in several ways:

Telephone Threats (threat to detonate explosive is phoned into system)

- Caller is the person who placed the device
- Caller has knowledge of who placed the device
- Caller wants to disrupt system operation

Written Threats (threat to detonate explosive is written in system)

- May be more serious than phoned-in threats
- Written threats are generally more difficult to trace than phone threats

## Letter and Package Threats (suspicious package or letter is delivered to agency)

- These threats serve a variety of purposes, but, generally, they are directed at specific system personnel rather than at the system as a whole.
- The personal motivations of the criminal may be more important in these types of threats

Bomb threats are normally transmitted by phone. The person receiving the call should be prepared to obtain precise information, including:

- The time the call was received and on which telephone number or extension
- The exact words of the person making the threat should be recorded
- Indicate whether it was a male or female voice and an approximate age
- Note any accent or speech impediment or slurring of speech that could indicate intoxication or an unbalanced condition
- Listen for the presence of any background noises such as traffic, music, or other voices
- Decide if the voice is familiar
- The person receiving the threatening call should be prepared to ask the caller certain questions if the information has not been volunteered.
- Where is the bomb?
- When is it going to explode?
- What does it look like?
- What kind of bomb is it?
- Why did you place the bomb?
- What is your name?

The caller may provide specific information by answering these questions. Often the type of person making a threat of this nature becomes so involved that they will answer questions impulsively. Any additional information obtained will be helpful to police and explosive technicians. To assist the person receiving the call, it is suggested a printed form be readily available. A sample is provided in Appendix A. Typically, this checklist is kept readily available to the transit dispatcher or administrative personnel most likely to receive such a threat.

Written and Letter/Package Threats should be treated as “suspicious objects” (see Step 4).

## Step 2: Threat Evaluation

Two basic descriptions of threats can be identified:

- Non-specific threat: This is the most common type of threat, usually with little information given other than, "There is a bomb in your building."
- Specific threat: This threat is given in more detail. Reference is often made to the exact location of the device, or the time it will detonate.

Specific threats should be considered more serious in nature, requiring a more concerted effort in the response. The non-specific threat, however, cannot be ignored. A policy must be developed to respond effectively to both threat levels.



Certain actions should be taken regardless of the threat category:

- Notify law enforcement (whether internal transit police and/or security or local law enforcement)
- Notify management personnel
- Initiate the search procedure
- Search before evacuation of personnel (employee search)
- Search after evacuation of personnel (volunteer search)

Notification to internal and/or external law enforcement, security and management personnel should be prompt, and include as much detail as possible. The person who received the threatening call should be available immediately for interviewing. Copies of the completed threat checklist should be readily available to all who may need it.

The appropriate search procedure should be initiated. Searches in the transit environment – as in many other environments – have two major constraints:

- Radio communication cannot be used (it may detonate the device)
- The environment is specialized, therefore, it cannot be searched effectively by outsiders

To address these concerns, personnel who work in a particular area, or who are responsible for an area, should be used. Not only will these personnel provide a much more thorough search than outside responders, but they are knowledgeable concerning station or facility emergency communication systems, and can access “land line” telephones to manage communications more effectively during the search. A system that utilizes the employees – after evacuations have been ordered -- should always use volunteers only.

The following criteria help determine what immediate action to take:

Factors favoring a search before the movement of personnel (occupant search):

- There is a high incidence of hoax telephone threats
- Effective security arrangements have been established
- Information in the warning is imprecise or incorrect
- The caller sounded intoxicated, amused, or very young
- The prevailing threat of terrorist activity is low

Factors favoring movement of personnel before searching (volunteer search):

- The area is comparatively open
- Information in the warning is precise as to the matters of location, a description of the device, the timing, and the motive for the attack
- A prevailing threat of terrorist activity is high

### **Step 3: Search Procedure**

Pre-planning and coordination of employees are essential in implementing an effective search of transit premises, particularly for large stations and facilities. A central control mechanism is necessary to ensure a thorough and complete response. A printed station and/or facility schematic should be identified for each major transit facility. Wherever possible, stations should be divided into zones or sections (prior to the actual conduct of the search), and volunteer personnel – familiar with the zone or section –

identified to support the search, by shift or position. Back-ups and supporting volunteers should also be identified for each zone or segment. A compendium of station/facility schematics should be available to those responsible for managing bomb threats and searches. Not only will these schematics support identification and assembly of the volunteer search team, but also, as the search is conducted, each area can be “crossed off” the plan as it is searched.

Areas that are accessible to the public require special attention during a search, and may be vitally important if an evacuation is to be conducted. The level of the search should be commensurate with the perceived threat level:

- ❑ An occupant search is used when the threat's credibility is low. Occupants search their own areas. The search is completed quickly because occupants know their area and are most likely to notice anything unusual.
- ❑ The volunteer team search is used when the threat's credibility is high. The search is very thorough and places the minimum number of personnel at risk. Evacuate the area completely, and ensure that it remains evacuated until the search is complete. Search teams will make a slow, thorough, systematic search of the area.
- ❑ During the search procedure the question often arises, "What am I looking for?" The basic rule is: Look for something that does not belong, or is out of the ordinary, or out of place. Conduct the search quickly, yet thoroughly, keeping the search time to a maximum of 15 to 20 minutes. Both the interior and exterior of the station or facility should be search.

Historically, the following areas have been used to conceal explosive or hoax devices in the transit environment:

Outside Station Areas	Inside Stations
<ul style="list-style-type: none"> <li>• Trash cans</li> <li>• Dumpsters</li> <li>• Mailboxes</li> <li>• Bushes</li> <li>• Street drainage systems</li> <li>• Storage areas</li> <li>• Parked cars</li> <li>• Shrubbery</li> <li>• Newspaper Stands</li> </ul>	<ul style="list-style-type: none"> <li>• Ceilings with removable panels</li> <li>• Overhead nooks</li> <li>• Areas behind artwork, sculptures and benches</li> <li>• Recently repaired/patched segments of walls, floors, or ceilings</li> <li>• Elevator shafts</li> <li>• Restrooms</li> <li>• Behind access doors</li> <li>• In crawl spaces</li> <li>• Behind electrical fixtures</li> <li>• In storage areas and utility rooms</li> <li>• Trash receptacles</li> <li>• Mail rooms</li> <li>• Fire hose racks</li> </ul>

Depending on the nature of the threat, searches may expand to include transit vehicles. In extremely rare instances, dispatchers have instructed operators on certain bus routes or rail lines to immediately bring their vehicles to a safe location, unload passengers, and walk-through the vehicle – looking for unidentified packages. In other instances, evacuated vehicles have been met by law enforcement officers, who actually conduct the search, including the vehicle undercarriage and rooftop areas.

#### **Step 4: Locating an Unidentified Suspicious Package**

If an unidentified or suspicious object is found, all personnel should be instructed (1) not to move it and (2) to report it to central dispatch or the search team leader immediately. The following information is essential:

- Location of the object
- Reason(s) suspected
- Description of the object
- Any other useful information – how difficult to secure area, evacuate, nearest emergency exits, etc.

Based on this information, decisions will be made regarding the following:

- Removal of persons at risk
- Establishment of perimeter control of the area to ensure that no one approaches or attempts to move the object
- Activities to establish ownership of the object. (In the event that legitimate property has been left behind in error prior to the bomb threat being received.)
- Assignment of someone familiar with the building and the area where the object is located to meet the Explosives Disposal Unit personnel on their arrival (in the event that they have been called)
- Continue implementation of search procedure until all areas have reported to the central control, as there may be more than one unidentified object

While volunteers and public safety personnel are conducting the search, and particularly while they are managing response to a suspicious package, they should keep in mind the following information. Improvised Explosive Devices (IEDs) and other types of bombs inflict casualties in a variety of ways, including the following:

- Blast over pressure (a crushing action on vital components of the body; eardrums are the most vulnerable).
- Falling structural material.
- Flying debris (especially glass).
- Asphyxiation (lack of oxygen).
- Sudden body translation against rigid barriers or objects (being picked up and thrown by a pressure wave).
- Bomb fragments.
- Burns from incendiary devices or fires resulting from blast damage.
- Inhalation of toxic fumes resulting from fires.

The following are four general rules to follow to avoid injury from an IED:

- Move as far from a suspicious object as possible without being in further danger from other hazards such as traffic or secondary sources of explosion
- Stay out of the object's line-of-sight, thereby reducing the hazard of injury because of direct fragmentation
- Keep away from glass windows or other materials that could become flying debris
- Remain alert for additional or secondary explosive devices in the immediate area, especially if the existence of a bomb-threat evacuation assembly area has been highly publicized

Historically, perpetrators of bombings in the transit environment (in foreign countries such as Israel, France, India, and England) have used two tactics that intensify the magnitude of casualties inflicted by detonation of an explosive device:

- Perpetrators have detonated a small device to bring public safety personnel to the site; a larger, more deadly device has detonated some time after the first device, thereby inflicting a large number of casualties on the first responder community.
- Perpetrators have used a real or simulated device to force the evacuation of a facility only to detonate a much more substantial device in identified bomb-threat evacuation assembly areas. These attacks are especially harmful because the evacuation assembly areas often concentrate transit personnel and passengers more densely than would otherwise be the case.

### **Step 5: Evacuation Procedure**

If an unidentified object is found, a quiet and systematic evacuation from the area should be conducted. Prior to evacuation, all areas used in the evacuation route must be searched: stairwells, corridors, elevators, and doorways. When these areas have been checked, volunteer personnel should be assigned to direct other personnel along the searched exit routes.

As a general guideline, evacuation should be to a minimum distance of 300 feet in all directions from the suspicious package, including the area above and below the site, giving regard to the type of building construction (thin walls, glass) and the size of the suspicious package. Elevators should not be used to evacuate people under normal circumstances. A power failure could leave them trapped in a hazardous area. Attention should be paid to the need for special transportation requirements of persons with disabilities.

The essential task in evacuation procedures is to direct people to quietly leave the premises, using tact and power of suggestion, in an effort to maintain control and avoid panic. Once a complete or partial evacuation has taken place, there must be some form of accounting for all personnel. This may be a difficult task, but a necessary one to ensure the safety of all personnel.

Assembly areas should be pre-selected and well known to personnel. Establish a clearly defined procedure for controlling, marshalling, and checking personnel within the

assembly area. If possible, for major transit stations, assembly areas should be coordinated with local police in advance. Assembly areas are selected using the following criteria:

- Locate assembly areas at least 300 feet from the likely target or building (if possible).
- Locate assembly areas in areas where there is little chance of an IED being hidden. Open spaces are best. Avoid parking areas because IEDs can be easily hidden in vehicles.
- Select alternate assembly areas to reduce the likelihood of ambush with a second device or small-arms fire. If possible, search the assembly area before personnel occupy the space.
- Avoid locating assembly areas near expanses of plate glass or windows. Blast effects can cause windows to be sucked outward rather than blown inward.
- Select multiple assembly areas (if possible) to reduce the concentration of key personnel. Drill and exercise personnel to go to different assembly areas to avoid developing an evacuation and emergency pattern that can be used by perpetrators to attack identifiable key personnel.

## **Step 6: Re-Occupation of Station/Facility/Vehicle**

Re-occupation of the station/facility/vehicle is a decision that must be made by an appropriate transit agency or law enforcement official. If the evacuation was made without a search, the premises should be searched before re-occupation.

## **Step 7: Training**

Any effective threat procedure must be accompanied by an adequate training program. Training the essential personnel should encompass both the preventative and operational aspects of the procedure. Prevention can be accomplished through employee awareness, developing good housekeeping habits, and being on the alert for suspicious items and persons.

Operational training may include lectures by transit police and security instructional staff or guest speakers, in-service training classes, and practical training exercises. Evacuation and search drills should be performed periodically under the supervision of transit police or local law enforcement. Coordination with local law enforcement is particularly important for those small agencies with no internal security.

## **Conclusion**

Considering recent events, it is advisable to consider all threats serious. A well-prepared and rehearsed plan will ensure an effective, quick search with minimal disruption of normal operation. Panic and possible tragedy can be avoided. Appropriate security, heightened employee and passenger awareness, and good housekeeping controls will identify many potential problems.

## APPENDIX D – SAMPLE EMERGENCY TELEPHONE DIRECTORY

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### **YUBA COUNTY:**

Emergency Services (OES):	741-6254/6255
Sheriff/Coroner:	911/741-6331
Marysville Police:	741-6621
Wheatland Police:	633-2821
Health Dept.:	741-6366
Animal Control:	741-6478
Mental Health Services	822-7200
Crisis Line:	673-8255

### **SUTTER COUNTY:**

Emergency Services (OES)	822-7370
Sheriff/Coroner:	911/822-7307
Yuba City Police:	822-4661
Health Dept.:	822-7225
Animal Shelter:	822-7375
Mental Health Services	822-7200
Crisis Line:	673-8255

### **MEDICAL CENTERS:**

Rideout Emergency:	749-4511/4300
Peachtree Clinic:	749-3242
Sutter Co. Med. Clinic:	822-7215
DelNorte Clinic:	743-4611
Mental Health Services:	822-7200
Crisis Line:	673-9255

## APPENDIX E – SECURITY AND EMERGENCY RESPONSE TRAINING AND EXERCISES

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Experience has shown, exercises are the most practical, efficient, and cost-effective way to prepare for disasters and crises. The aim for any transit agency should be to develop a progressive exercise program, a long-term approach in which exercises are planned, conducted, and evaluated as building blocks to competency in crisis management.

There are two principal benefits of such a program. First, people practice their roles and gain proficiency in crisis management. Second, the coordination among transit providers and local emergency response agencies is improved. These benefits arise not from exercising alone, but from evaluating the exercise and acting upon those results. An exercise has value only when it leads to individual and/or collective improvement.

Key terms used in the development of exercises include the following:

- **Progressive Exercise Program:** A commitment from the transit provider and community public safety agencies to plan and conduct increasingly more challenging exercises over a period of time, to achieve and maintain competency in executing the local crisis management plan.
- **Objective:** A goal expressed in simple, clear, specific, and measurable terms serves as the foundation of all exercise planning.
- **Scenario:** The overall outline of how an exercise will be conducted. It includes the narrative, major/detailed sequence of events, problems or messages, and expected actions. Often used interchangeably with the term narrative.
- **Narrative:** A word “picture” that includes all essential elements of information concerning the incident used to initiate an exercise.

Types of exercises include the following:

- **Drill:** Supervised activities that test, develop, or maintain skills in a single response procedure (such as: communications, notification, lockdown, fire) and the possible or probable interaction with local government agency functions (such as: incident command posts, rescue squad entry, police perimeter control) that will involve actual field response. A drill helps prepare for more complex exercises in which several functions are coordinated and tested.
- **Exercise:** An activity designed to promote emergency preparedness; test or evaluate emergency operations, policies, plans, procedures or facilities; train personnel in emergency duties; and demonstrate operational capabilities.

- **Full-Scale Exercise:** Evaluates the operational capability of emergency response management systems in an interactive manner, including the mobilization of emergency personnel and resources required to demonstrate coordination and response capability. Total response capability is tested as closely to a real emergency as possible.
- **Functional Exercise:** A fully simulated interactive exercise that tests one or more functions in a time-pressured realistic simulation; focuses on policies, procedures, roles, and responsibilities.
- **Orientation Seminar:** An informal discussion designed to familiarize participants with roles, plans, and procedures, and resolve questions of coordination and assignment of responsibilities.
- **Tabletop Exercise:** Simulates an emergency situation in an informal, stress-free environment. It is designed to elicit discussion as participants examine and resolve problems based on existing crisis management plans.

The transit agency should establish liaison with the local office of emergency management and Local Emergency Planning Committee (LEPC). The latter usually operates as an ancillary (volunteer/advisory) component of the former. Both routinely plan and carry out disaster exercises and the transit agency should become involved in this cycle.

In addition the transit agency, depending on size and resources, may institute its own internal exercise and training program. The agency may send staff, or volunteers, to training conducted by the Missouri State Emergency Management Agency (<http://sema.dps.mo.gov/trn.htm>). In addition the agency may have staff complete distance education courses through the Emergency Management Institute, the training element of the U.S. Department of Homeland Security (<http://www.training.fema.gov/emiweb/>).

Both assets are free and representative ways to develop training an exercise expertise within the transit agency.

Regardless of size, the transit agency should regularly exercise its security and emergency management procedures. The transit agency should have posted to the agency calendar a schedule of training and exercise activities and should document these activities with written records and evaluations as appropriate.



## APPENDIX F – REPORTING CRIMINAL ACTIVITY

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If you observe a crime in progress or behavior you suspect is criminal, immediately notify [dispatch or local police]. Report as much information as possible including:

Activity: What is happening? (In plain language and with as few assumptions as possible)

Description of Involved People: For each involved person, provide: ***(sometimes it is easier for employees to remember to describe people from “top to bottom” or “head to toe”)***

- Height
- Weight
- Gender
- Weapons
- Distinguishing characteristics
  - Hair (color and style)
  - Shirt, sweater, jacket, coat (color and style)
  - Pants (color and style)
  - Shoes (color and style)

Location: Describe exactly where the criminal activity is occurring. If the activity is “moving,” describe the direction of travel.

Vehicle: If a vehicle is involved, please provide the following ***(musical acronym: CYMBAL helps to remember this)***:

- . • Color
- . • Year
- . • Make
- . • Body and
- . • License

**DO NOT APPROACH OR ATTEMPT TO APPREHEND THE PERSON(S) INVOLVED.**

Stay on the telephone with the police dispatcher and provide additional information as changes in the situation occur, until the first police officer arrives at your location.

## APPENDIX G – EMERGENCY ACTION PLAN

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**COMPANY:**

**ADDRESS:**

**I. EMERGENCY PLAN COORDINATOR**

NAME :

TITLE:

DEPARTMENT:

TELEPHONE NO:

**II. PREFERRED MEANS OF REPORTING FIRES AND OTHER EMERGENCIES**

Type of Emergency:

Reported By:

Fire

Explosion

Tornado/Weather

Bomb Threat

Chemical Spill/Leak

Violence

Medical

Other

## **ELEMENTS**

### **A. Emergency Escape Procedures and Routes**

Emergency escape procedures and route assignments have been posted in each work area, and all employees have been trained by designated supervisors in the correct procedures to follow. New employees are trained when assigned to a work area. A sample escape procedure and escape route sheet of the type posted in work areas should be developed. (Identify and attach floor plan and escape route).

### **B. Procedure for Employees Who Remain to Operate Critical Operations Before They Evacuate:**

A single procedure should be developed that describes operations, procedures, and personnel required for critical operations to be performed before the assigned personnel evacuate during emergency situations. A description of the special training provided should also be included.

### **C. Employee Accountability Procedures after Evacuations**

Each supervisor is responsible for accounting for all assigned employees, personally or through a designee, by having all such employees report to a predetermined designated rally point and conducting a head count. Each assigned employee must be accounted for by name. All supervisors are required to report their head count (by name) to the Emergency Evacuation Coordinator.

### **D. Rescue and Medical Duties**

Specific rescue and medical duties have been assigned to designated individuals. These personnel have received special training and instructions for properly carrying out these assignments.

### **E. Alarm System**

Alarm systems for notifying all employees in case of an emergency are: When so required by specific OSHA Standards, the organization will comply with OSHA Standard 1910.165, Employee Alarm Systems.

### **F. Training**

The following personnel have been trained to assist in the safe and orderly emergency evacuation of other employees. (See also Appendix B-identify)

<b>Name</b>	<b>Title</b>	<b>Work Area</b>	<b>Special Assignment</b>

1. Training is provided for employees when:
2. The plan was initiated
3. Responsibilities change
4. New employees are hired or transferred

### III. EMERGENCY SHUTDOWN PROCEDURES

During some emergency situations, it will be necessary for some specifically assigned and properly trained employees to remain in work areas that are being evacuated long enough to perform critical operations. These assignments are necessary to ensure proper emergency control.

Work Area	Name	Assignments	Description of Assignment
		Job Title	

### IV. SPECIAL TRAINING

The preceding individuals have received special instructions and training by their immediate supervisors to ensure their safety in carrying out the designated assignments. A training record describing the instructions provided and the detailed procedures to be followed is maintained in the Emergency Plan and Fire Protection Plan Coordinator's Office.

**Emergency and Fire Protection Plan Coordinator:**

Name:

Date:

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### V. EMPLOYEE ACCOUNTABILITY PROCEDURES FOLLOWING AN EMERGENCY EVACUATION

Each supervisor is responsible for accounting for each assigned employee following an emergency evacuation. This will be accomplished by performing the established procedures.

### VI. EMPLOYEE ACCOUNTABILITY

1. Assembly points have been established for all evacuation routes and procedures. These points are designated on each posted work area escape route.

2. All work area supervisors and employees must report to their designated assembly points immediately following an evacuation.
3. Each employee is responsible for reporting to his or her supervisor so that an accurate head count can be made. Supervisors will check off the names of all those reporting and will report those not checked off as missing to the Emergency Evacuation Coordinator.
4. The Emergency Evacuation Coordinator will be located at one of the following locations:
  - A. Primary Location:
  - B. Secondary Location:
5. The Emergency Evacuation Coordinator will determine the method to be utilized to locate missing personnel.

## VII. RESCUE AND MEDICAL DUTIES

It may become necessary in an emergency to rescue personnel and perform some specified medical duties, including first-aid treatment. All employees assigned to perform such duties will have been properly trained and equipped to carry out their assigned responsibilities properly and safely.

### Assignments

Name	Location	Special Assignment	Special Training Provided

### Special Instructions and Procedures

All personnel performing emergency rescue and medical duties must follow these instructions:

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## APPENDIX H – EMERGENCY PLANNING, RESPONSE AND SECURITY PROCEDURES

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### ENVIRONMENTAL EMERGENCIES

#### **EXTREME HEAT**

If a heat wave is predicted or happening, please adhere as much as possible to the following guidelines:

1. Slow down and try to avoid strenuous activity.
2. Stay in air conditioning as much as possible, either in your vehicle or in a building.
3. Wear lightweight, light-colored clothing that reflects away heat.
4. Drink plenty of water regularly and often. Drink plenty of fluids even if you do not feel thirsty.
5. Avoid drinks with caffeine since they heighten the heat's effects on the body.
6. Eat small meals and eat more often. Large meals and food high in protein actually increase metabolic heat.

#### **THUNDERSTORMS**

1. Dispatcher will notify vehicles with radios of any watches or warnings.
2. Keep your radio tuned to local news and weather for advisories and information.
3. Keep an eye on the sky. Look for darkening skies, lightning or increased wind. If you can hear thunder, you are close enough to the storm to be struck by lightning.
4. If severe storm happens, find shelter in a building or vehicle. Keep car windows closed. A building is much preferred if you can safely get to one.
5. After storm passes, keep tuned to local radio stations and avoid any potentially damaged areas.
6. Check in with dispatcher, if possible, for further instructions.

#### **FLASH FLOODS**

If it has been raining hard for several hours, or steadily raining for several days, be alert to the possibility of a flood.

- A flood WATCH means a flood is possible.
- A flood WARNING means flooding has already started or will be occurring soon.

Please follow these guidelines for a flood watch or warning:

1. If a flood Watch is issued, you will be notified by the Dispatcher. Listen to local radio and if told to evacuate a certain area, do so as soon as possible, making every effort to protect yourself and any passengers you may have with you.
2. If a flood Warning is issued, dispatcher will advise you to return to base immediately, if safe to do so.
3. If there is no time to return to base, move to higher ground away from rivers, streams, creeks and storm drains.
4. Do not drive around barricades since they have been placed to keep you out of a hazardous area.
5. If your vehicle stalls in rapidly rising water, abandon it immediately and climb to higher ground, again making every effort to protect yourself and any passengers you may have with you.
6. Do not drive through floodwaters. They may look shallow, but looks can be deceptive. The swift current of even a few inches of water can sweep your vehicle away and turn it over on its side or top, trapping you and any passengers inside.

## **TORNADOES**

1. When a tornado watch is issued, stay tuned to local news and weather and keep in touch with base dispatcher.
2. Be alert to any changing weather conditions.
3. When tornado warning is issued:
  - a. Go to lowest floor at the nearest inside shelter, if possible. If there is no basement, go to center hallway, away from windows or into a bathroom.
  - b. Do NOT stay in your vehicle. During tornadoes, your vehicle is one of the worse places you could be. If there is no building available and you are outside, go to a low-lying area and lie flat. If others are in your vehicle, assist them first.
4. After storm is over, watch out for fallen power lines and avoid damaged areas.
5. Establish communication with base for further instructions.

## **WINTER STORMS**

1. Stay tuned to local news on radio and keep in touch with base dispatcher.
2. Be alert to changing weather conditions.
3. Wearing several layers of lightweight clothing will keep you warmer. Wear gloves or mittens and something on your head, which will prevent loss of body heat. Cover your mouth when it is cold to protect your lungs.
4. A winter storm WATCH means a winter storm is possible in the area. Let the Transportation Office know if you are uncomfortable driving with an issued storm watch. If you do drive, keep your vehicle radio, and/or cell phone on for dispatcher's instructions. Keep your radio tuned to local and regional weather.

5. A winter storm WARNING means a winter storm is on the way. If you are driving out of town, please check with dispatcher to see if your run is still scheduled. If you are driving people in town, stay tuned for changing conditions and possible cancellations of your pick-ups and deliveries.
  - a. If you get stuck in your vehicle, stay with your car and wait for help. DO NOT try to walk to safety unless you are in town and see an open business you can easily get to.
  - b. As wind increases, so does the possibility of hypothermia. Be sure and cover any exposed skin when out in cold weather.
  - c. Make sure your gas tank is full.
6. A blizzard WARNING means strong winds, blinding wind-driven snow, and dangerous wind chills are expected.

## **EARTHQUAKES**

Although unlikely, earthquakes can happen almost anywhere and there is a fault that runs through **Missouri – the New Madrid Fault**. In the event of an earthquake, please follow these guidelines.

1. If you are in a vehicle, slow down and drive to a place that is clear of buildings, trees and power lines. Stay inside vehicle until shaking stops.
2. If you are inside a building, choose a safe place, such as under a sturdy table or desk or against an inside wall where nothing can fall on you. Protect your eyes by pressing your face against your arm. Stay indoors and away from windows until the shaking stops and it is safe to exit.
3. If you are outside, find a clear spot away from power lines, buildings or trees and drop to the ground.
4. When quake is over, check yourself and others for injuries. Watch for downed power lines or unsafe areas. Listen to local stations for further general instructions.
5. Contact the agency dispatcher/administrative office as soon as possible.

## **CHEMICAL EMERGENCIES**

A major chemical emergency is an accident where hazardous amounts of chemicals are released into the air or water. These can happen underground, on railroad tracks or highways or at manufacturing plants. In the event of a chemical emergency, follow these guidelines:

1. Listen to the radio and follow the instructions. If you have a radio linked to base, the dispatcher will issue instructions.
2. Get as far from the accident as possible and if necessary, find a safe place to take shelter.
3. If an area of the city needs to be evacuated, listen to radio announcements for evacuation procedures and, if possible, stay in touch with base.



Follow the evacuation routes broadcast and do not attempt to take a shortcut as this could put you in the path of danger.

4. If you have passengers, follow the procedures that will keep both yourself and your passengers safe.
5. Keep windows of vehicle closed and turn off all vents, heating and air conditioning systems.
6. Some of the symptoms of chemical poisoning, whether by swallowing, touching, or inhaling are: difficulty breathing; changes in skin color; headache or blurred vision; dizziness; irritated eyes, skin, throat; unusual behavior; clumsiness or lack of coordination; stomach cramps or diarrhea. If you think you have been exposed to a toxic chemical, call the poison control center, EMS, 9-1-1, or dispatch at base, whichever applies to you.
7. If you see or smell something that you think may be dangerous, or find someone who has been overcome with toxic vapors, your first job is to make sure that you and your passengers do not become victims. If you remain in a dangerous area and become ill or unconscious, you cannot help yourself or any others. Report the situation to 9-1-1 or call dispatch on the radio.

## **SECURITY INCIDENTS**

### **POSSIBLE OR CONFIRMED TERRORIST ATTACK**

1. Remain calm and be patient. Follow the advice of local emergency officials and listen to your radio for news and instructions. If possible, get in touch through your vehicle radio or cell phone with the dispatcher.
2. If a disaster occurs near you, check for injuries. Give first aid if possible and get help for seriously injured people. Remember to avoid direct contact with blood and other body fluids. Each vehicle should have a bag with disposable gloves, first aid kit and other items.
3. If time allows, contact your family and let them know where you are.
4. If there is terrorist activity that is an immediate threat, go to a public building and take shelter as quickly as possible. Public schools and hospitals are some of the best places to go.
5. If you have passengers with you, assist them into a shelter.
6. If you are told to evacuate the area or the city, listen to radio announcements for evacuation procedures and, if possible, stay in touch with base. Follow the evacuation routes broadcast and do not attempt to take a shortcut as this could put you in the path of danger.
7. For large emergencies like these, you may hear a siren or the tone on the radio that you usually hear as emergency testing. Please keep your radio tuned to that station for information.

## **UNATTENDED ARTICLES**

1. If you find a bag, container, letter or package in the vehicle that cannot be identified as belonging to the transit agency, yourself, or one of your passengers, exit the vehicle immediately.
2. Stay calm.
3. Call 9-1-1.
4. Do not touch, shake or empty the contents.
5. Keep hands away from mouth, nose and eyes.
6. Lock the vehicle and wait until emergency responders arrive.
7. Wash hands well with soap and water as soon as possible.
8. Contact Transportation Office staff as soon as possible.

We certainly hope that none of the above emergency procedures have to be initiated. We know that as a transit agency employee you will do your utmost to protect yourself and those you are responsible for, whether at home with family, or at work helping us carry out our mission. Remember, the most important instruction for any emergency is to stay calm.

## **BLOODBORNE PATHOGENS**

Bloodborne pathogens are viruses or other infectious agents that are carried by the blood. Two especially dangerous examples are HIV – Human Immune Deficiency Virus, and Hepatitis B virus. Infections from these blood borne agents can be prevented by avoiding all contact with blood and other bodily fluids. If you do come into contact with blood or other bodily fluids, report the incident immediately to staff in the transportation office.

Documentation of the circumstances under which your exposure or contact occurred must be completed. The most important safe guard against any possible exposure is to remember. **DO NOT TOUCH BLOOD OR OTHER BODILY FLUIDS.**

- If you have a passenger who starts to bleed and you have been properly trained, administer first aid and transport the person to a medical facility as soon as possible.
- If there is blood or other bodily fluids that have gotten in or on your vehicle, again report it immediately to dispatcher/transit agency operations. For staff safety and the safety of others using the vehicle, you **MUST** make sure to tell them **BEFORE** they touch the vehicle that such a spill has occurred. The dispatcher/transit agency operations should make immediate arrangements to have the vehicle decontaminated.
- Prevention, Protections, Containment, Proper Clean Up and Documentation are absolutely essential to protect the health of you and others. Be proactive in practicing safety in this area.

## **PRE-OPERATION/POST-OPERATION VEHICLE SECURITY CHECKS**

Prior to being placed in operation and prior to being taken out of operation for a shift/activity all agency vehicles will be given a security inspection by the vehicle operator. This inspection will consist of:

### **Vehicle Exterior:**

1. A walk around by the operator checking for signs of forced entry, vandalism, and anything else the operator might deem unusual.
2. A visual inspection of the area underneath the vehicle looking for unusual fluid loss and indications of unusual activity.
3. A visual inspection of all vehicle compartments that can be accessed from the outside looking for signs of forced entry, tampering or other unusual indications.

### **Vehicle Interior:**

1. A walk through of the vehicle checking for unattended articles, persons, or evidence of unauthorized access.
2. A visual examination of all on-board emergency equipment (fire extinguishers, first aid kits, etc.) to insure usability.

Prior to starting the vehicle: inspect gauges and instruments for correct operation. Any deficiencies should be noted by the operator and immediately reported to the transportation supervisor.

## **THREATS AND ASSAULTS**

Threats and assaults directed both at agency staff and passengers may occur at anytime. Agency staff in the field may operate in isolated circumstances without ready access to support and assistance. Consequently, agency staff should respond using the following guidelines:

### **REMAIN CALM.**

Your life and general safety are more important than agency property.

1. Use physical force only if physically attacked.
2. If an incident occurs outside the vehicle remain on board your vehicle, keep the passenger door closed and, if possible attempt to move away from the incident.
3. If an incident occurs on the vehicle while it is moving contact the dispatcher and request assistance and stop the vehicle as soon as it is safe to do so. Once the vehicle is stopped, open the passenger door(s), attempt to get any passengers off the vehicle and to a safe location nearby. Do not re-board the vehicle but wait for help to arrive.
4. During the incident be observant; try to remember details that might help police identify those involved.

5. As you operate the vehicle be generally observant of passengers. Note anyone that seems unduly agitated, hostile or combative.
6. If you become concerned that a passenger might present a threat to you or other passengers do not attempt to confront the person yourself.
  - a. Contact the dispatcher and ask for assistance
  - b. If necessary take the vehicle to an agency facility and ask for help. If this is impractical take the vehicle to a police or fire station or public place.

## **VEHICLE HIJACKING**

Vehicle hijacking, as part of a terrorist event or other criminal activity, presents a special challenge. Again, agency vehicles are particularly vulnerable because they operate in isolated circumstances without access to immediate support. If a vehicle is hijacked we will respond according to the following general guidelines:

- The vehicle operator should remain calm.
- Do not confront or physically threaten the hijacker(s).
- Attempt to notify agency dispatch.
- Attempt to comply with hijacker(s) demands.
- All such incidents will be turned over immediately to local law enforcement and all agency personnel will follow the directions from local law enforcement personnel.

## **EMPLOYEE BACKGROUND CHECKS**

### **New Hires**

All newly hire personnel will undergo a background records check. Based on the results of this initial check the director may, at his/her discretion, conduct a more in-depth investigation of a potential employee's background.

Initial background checks can be relatively simple and may only involve checking employee references and/or doing an internet search for evidence of past behavior. Agencies may elect to do a more in depth check depending on the potential employees' anticipated placement. In this case a criminal background check involving finger prints may be necessary.

The transit agency should:

1. Consult legal counsel to determine the extent to which the transit agency must do background checks on employees. The necessity of criminal background checks should be identified as a separate issue.
2. Establish liaison with local law enforcement to determine if that agency will fingerprint prospective job applicants and actually conduct record checks. Often local law enforcement agencies will do fingerprinting but it is rare that they will actually conduct record checks.

3. The transit agency may consult on this issue with local medical providers and the school district to determine how these agencies conduct background checks.
4. The transit agency should establish procedures to insure that employee background check information is treated as confidential material. The records should be kept in secured facilities in the agency administrative office with access controlled by the director or his/her designated representative.

### **SERVING AGENCY EMPLOYEES**

Current employees are expected to report to the director any criminal incidents in which they may be involved that occur outside work. The director, at this/her discretion may then follow up to determine the nature of the incident and determine whether or not the individual should continue as an agency employee. Failure by an employee to notify the director of such an incident will be grounds for immediate discharge. Such notification must take place within 24hrs of the employees' involvement in the incident or as soon there after as practical.

### **STORAGE of FLAMMABLES and FUELS**

No fuels or flammable materials will be carried on agency vehicles. Flammable materials in the agency maintenance facility will be stored in fire resistant containers and when not in use will be kept in a fire resistant /explosive resistant cabinet. Cabinets and containers will be appropriately marked in accordance with National Fire Protection Association standards.

Areas of the vehicle maintenance facility where fuels and flammable materials are stored will be appropriately marked in accordance with National Fire Protection Association standards. Cleaning materials and any flammable materials kept at the agency administrative offices will be stored in fire resistant/explosion resistant cabinets marked in accordance with National Fire Protection Association standards. Bulk fuels and flammable materials will not be kept in agency facilities.

### **COMMUNICATION SECURITY**

Many agency vehicles are equipped with public service band radios for dispatching and control purposes. When operating these radios all personnel must keep in mind that the public may be listening and that anything said may well be repeated. All agency personnel will adhere to the following guidelines:

- Always use assigned call signs and designators.
- Use the radios only for agency business.
- Never discuss details of a criminal or security incident over the radio.
- Never give the names of passengers or staff involved in such incidents over the radio.
- Never use profanity.
- Keep transmissions short and to the point (we only have one radio frequency).

- In the event of a system wide emergency dispatch becomes net control and will assign priority to radio traffic.

## **FILE and RECORD SECURITY and OFF-SITE FILE STORAGE**

The agency director, in consultation with the board of directors, will specify files, by type, to be regarded as sensitive. At a minimum this should include personnel files and files on criminal and security incidents, business continuity files such as financial records, records of purchase orders, personnel benefits files, and other files as designated by the director and the board of directors.

**Paper sensitive files** will be kept in the agency administrative office in a locked filing cabinet(s). Access to files will be strictly controlled. The director, or his/her designee will determine if an individual staff member needs access. All files will be signed out to the user by the director, or his/her designee. Files will not be removed from the agency premises and may not be copied. No files may be held overnight by a user and files signed out must be signed back in at the end of the work day. Records of file use will be maintained in the director's office for two years.

**Electronic sensitive files** will be stored on CD disks or jump drives (as determined by the director) and will be kept secured in a locked file cabinet in the agency administrative office. The director, or his/her designee will determine if an individual staff member needs access. All files will be signed out to the user by the director, or his/her designee. Files will not be removed from the agency premises. Electronic sensitive files will be up-dated at the end of the work day prior to being returned to the secure file. No files may be held overnight by a user, any files signed out must be signed back in at the end of the work day. Records of file use will be maintained in the director's office for 2 years.

At his/her discretion the director may allow working copies of agency sensitive electronic files to be maintained on specific computers in the agency administrative office. Such computers will be specifically identified by serial number. These computers will be password protected as designated by the director and the password will be changed monthly under the supervision of the director, or his/her designee.

**Off-site File Storage:** The director, in consultation with the board of directors, may identify the need to store sensitive files off-site. This is desirable in the event of catastrophic destruction of the agency administrative office or of limited access to the administrative office. Storing sensitive files off-site will facilitate continuation/restoration of agency operations.

Factors to consider in off-site storage:

1. Files must be in an easily transportable form (jump drive, CD, DVD, or portable hard drive).

2. Files must be clearly identified.
3. Files stored off site must be up-dated regularly (minimum weekly).
4. Off-site storage must be easily accessible in the event of a disaster/emergency.
5. Items stored there must be safe from man-made and natural disasters.
6. access to file storage must be carefully controlled.
7. equipment must be available to use the files (the agency must have hardware available to utilize the files stored in the secure facility; this means the agency should store a computer, key board, monitor, etc (with operating system software for the sensitive files).

An ideal local facility to support this activity is a bank or credit union vault. There will probably be a charge to the transit agency for storing the sensitive material.

### **FACILITY ACCESS and KEY CONTROL**

Agency administrative offices will be regarded essentially as open access. Offices will be organized so persons entering will pass by a reception point where they can be greeted and announced to the director and other senior staff. During normal business hours facilities will be lighted as needed to transact business. Access points will be secured in accordance with local fire codes. After business hours adequate security lighting will be maintained inside and outside and all access points will be locked

Agency vehicle storage and repair facilities will be regarded as controlled access, only agency personnel and individuals with specific authorized business will be allowed to enter.

Where practical, these facilities will be fenced with one primary entry point. Where practical, the entry point should be through a structure that is staffed by at least one individual.

This entry point will maintain a sign-in and sign-out roster for all non-agency personnel entering the facility.

Personnel should verify that visitors have business at the site before admittance to secure areas.

Supervisors should verify that agency personnel have reason to be in any secured area.



If the access point also serves as the dispatching point, personnel will ensure that all agency vehicles departing the site have been properly dispatched in accordance with agency dispatching procedures.

If practical, the facility will have security lighting sufficient to allow observation of the site from the fenced perimeter.

If the facility is operated after normal business hours access will be restricted to agency personnel and controlled by key access.

The agency will establish a serialized inventory of both facility and vehicle keys.

The agency director, or his/her designated representative, will inventory all agency keys quarterly.

Facility keys may be signed out to employees on a permanent basis at the discretion of the agency director.

Vehicle keys will be signed out on an operational period basis.

All vehicle keys will be turned in by the operator at the end of each operational period.

All facility keys not in use will be secured in the agency administrative office in a locked storage box.

All not in use vehicle keys will be secured in the agency dispatch site in a locked storage box.

The agency director will establish liaison with local law enforcement regarding patrolling of the facility. The agency director will also provide local law enforcement agencies with up-to-date after business hours contact information.

### **SECURING IN-SERVICE and OUT OF SERVICE VEHICLES**

When not attended by an employee licensed to operate the vehicle all agency vehicles will be secured in accordance with the following guidelines:

In-service Vehicles:

(These procedures will not apply in total to paratransit operations where the nature of the service requires the operator to leave the vehicle unattended with passengers on board to board assist other passengers with boarding)

In-service vehicles will not normally be left unattended.



If the vehicle must be left unattended the operator will:

- a. If possible, move the vehicle to a location where it will not interfere with the normal flow of vehicle traffic or present a safety hazard.
- b. Inspect the interior of the vehicle to insure that all passengers have left the vehicle.
- c. Inspect the interior of the vehicle to insure that no unattended articles have been left on board

If passengers are still on board the vehicle, they will be asked to leave. If they refuse to leave the operator will contact the dispatcher for assistance. This will apply to fixed route bus operations when a vehicle is at an outer line transfer station. Para-transit operations, by their nature, require the operator to leave the vehicle unattended for short periods with passengers on board.

If unattended articles are found on board the operator will secure the vehicle and contact dispatch for assistance.

Once the vehicle is safely positioned and cleared the operator will insure that the vehicle is shutdown and secured for unauthorized intrusion.

These guidelines will be followed when it is anticipated the vehicle will need to be secured for less than 30 minutes.

#### Out of Service Vehicles

Vehicles will be normally stored out of service for two reasons:

The vehicle is at the end of its operational shift.

The vehicle is being held for maintenance.

1. Securing at the end of an operational shift.
  - a. The vehicle will be taken to the agency's designated vehicle parking area.
  - b. The operator will conduct a post-operation inspection as designated in agency procedures.
  - c. The operator will complete dispatch documents and the vehicle log book.
  - d. The operator will inspect the interior of the vehicle for unattended articles and passengers. If anything unusual is found the operator will immediately notify the dispatcher.
  - e. The operator will secure the vehicle and turn in the vehicle keys and dispatch paper work to the agency dispatcher.
2. Securing for maintenance
  - a. The vehicle will be taken to the agency's vehicle maintenance facility.

- b. The operator will conduct an inspection of the interior to insure no unattended articles are present. If any are found, the operator will notify the maintenance supervisor.
- c. The operator will record the trip in the vehicle log book.
- d. The operator will lock the vehicle and turn the keys, log book and maintenance request form into to the maintenance.

## **MASS CASUALTY PROCEDURES**

The transit agency must establish procedures to address mass casualty situations involving agency vehicles and facilities. At a minimum these procedures should address the following issues:

### **Facilities** (see Appendix G “Emergency Response Plan”):

1. Identify agency facilities where mass casualty events might occur.
2. Develop facility specific emergency plans.
  - a. Prepare guidelines for staff to follow in determining whether or not to evacuate a facility (these may not be all inclusive but they will provide the staff criteria for assessing the gravity of the situation).
  - b. Provide training for selected staff in basic triage and first aid and movement of injured persons.
  - c. Identify evacuation routes out of the facility
  - d. Identify assembly points outside the facility where staff and passengers can be taken to await evacuation.
  - e. Designate staff (primary and alternates) to oversee the evacuation
  - f. Insure that first aid supplies are strategically located in facilities so as to be accessible in an emergency.
  - g. Identify alternate means of communications for notifying emergency services and the transit agency management of the disaster/emergency.
  - h. Identify staff (primary and alternates) that is responsible for guiding emergency responders to assembly areas.
3. Establish liaison with local emergency response agencies and provide them with information on facility emergency plans.
4. Train on facility emergency plans with the cooperation of first response agencies.

### **Vehicles:**

1. Vehicle operators are trained in basic first aid and triage.
2. As quickly as possible after an incident/accident, the vehicle operator notifies 911 and the transit agency operations.
3. Vehicle operators are responsible for assessing whether to evacuate the vehicle or remain on board and wait for first responders.

4. If vehicle is to be evacuated:
  - a. Vehicle operator determines where to evacuate and directs ambulatory passengers to that point.
  - b. Vehicle operator does a hasty triage on remaining passengers and attempts to move any that are alive to the evacuation point (he/she may request assistance for uninjured passengers).
  - c. Once at the evacuation point the vehicle operator attempts to make survivors as comfortable as possible and waits for first responders.
5. If vehicle is not to be evacuated:
  - a. Vehicle operator provides first aid to victims.
  - b. Vehicle operator provides aid and comfort to passengers and waits for arrival of first responders.
  - c. Upon arrival of first responders the vehicle operator turns over control of the scene to them.

## **MASS EVACUATION PROCEDURES**

The transit agency's major contribution to emergency management is to provide assets to support a mass evacuation. The need for such an evacuation will be determined by emergency management personnel and the transit agency will be asked to provide assets to the emergency management agency to be deployed as needed by the emergency management agency. Such support will be carried out according to the following guidelines:

- a. The transit agency and the emergency management agency will establish written agreements detailing those transit agency assets that are available to support a mass evacuation.
  1. The availability of these assets will be governed by a variety of factors (need to sustain regular service, availability of trained personnel to operate vehicles, logistical ability of the transit agency to support sustained operations, operational status of agency equipment).
  2. The assets will be deployed only when requested by the emergency management agency.
  3. The assets will remain under control of the transit agency but will be used as directed by the emergency management agency.
- b. The transit agency will develop procedures for call back of qualified vehicle operators when emergency incidents arise during periods of non-operation or limited operation.
- c. The transit agency will establish command procedures clearly designating the individual in charge of the deployed assets and the chain of command for transit agency personnel to follow while on deployment.

- d. The transit agency will participate in pre-incident planning to identify likely assembly points for evacuees, evacuation routes (primary and alternate) and reception centers.
- e. The transit agency will provide a representative to the incident command post who will serve as the person in charge of the transit agency deployment. This representative will direct dispatch of agency vehicles and will monitor operational status during the deployment.

### **INCIDENT COMMAND SYSTEM**

The transit agency will implement the Incident Command System as part of its emergency procedures. At a minimum, supervisory personnel will complete ICS-100 (Introduction to Incident Command) and ICS-200 (Intermediate Incident Command) and non-supervisory personnel will complete ICS-100. The purpose is to prepare transit agency employees to integrate smoothly into the command structure used by emergency management on a large scale incident. Both classes are available on-line from the Emergency Management Institute, the training unit of the US Department of Homeland Security (URL: <http://www.training.fema.gov/emiweb/>)

### **CONTINUITY OF OPERATIONS**

The transit agency should have established procedures for continuing operations regardless of its size or complexity.

At a minimum the procedures should:

1. Identify, to the extent possible, the events that could cause business/operations disruption.
2. Identify the consequences/impact on served populations caused by each identified possible disruption
3. Set priorities, under each scenario, for continuation of services.
4. Identify those resources necessary to continue the identified services.
5. Identify personnel responsible for managing and carrying out the continuation services.
6. Identify sources for emergency re-supply of the agency during continuation operations.
7. What external agencies need to be notified that the agency has suspended normal operation? Who's responsible for the notification?

The purpose of continuity operations is to sustain critical agency functions in an emergency. These functions include services to staff and employees as well as transportation operations.

## **RECOVERY OPERATIONS**

Separate from continuation, but related in function, are recovery operations. The transit agency must also have in place procedures necessary to facilitate recovery from a disaster and resumption of normal service operations. These activities are related to continuation operations in that they take place virtually at the same time and must be coordinated so as to complement each other rather than interfere with each other.

Factors to consider when developing recovery procedures include, but are not limited to:

1. Identify the “recovery team” by position title
2. Identify “recovery team” responsibilities; what do you want them to do?
3. Identify those agency operations and services not sustained under continuation operations that need to be recovered.
4. Identify resources necessary for recovery of non-critical and critical services and operations.
5. Identify priority for restoration of agency services (Are you going to bring them all back at once or in phases)?
6. Identify employee call back schedule (who will you need first)?
7. Establish operations restoration checklists for each agency service area/department.
8. What constituencies need to be notified as the agency brings services back into operation?
9. What is the priority for re-establishing vendor contracts and delivery of services?
10. Set a target date for phase out of continuation operations and resumption of normal services.

Recovery planning is concerned with bringing the agency back to full service after a shut down. The goal is to bring service back quickly and efficiently and safely.

## **FACILITY LOSS**

Regardless of size the agency must plan for loss of one or more (if appropriate) of its facilities. When determining what to do if access to a facility is lost, the agency should consider the following:

1. What key facilities does the agency have? (maintenance shop; dispatch center; vehicle storage site, administrative office)
2. What are the consequences to the agency if one or more of these facilities is unusable for more than 48 hours?
3. What are the consequences to the agency if the facility is unusable for more than 48 hours?
4. What is needed to partially replace the facility (i.e. shift operations to an alternate site for a limited period of time)?
5. What is needed to permanently replace the facility (i.e. establish a semi-permanent operation elsewhere until the agency's facility can be re-built/made habitable)?
6. Does the agency have the resources to undertake the actions required for recovery?
7. What constituencies need to be notified the agency is establishing operations at an alternative site?
8. How does a move to an alternative operations site, for any agency function, impact employees and service constituencies?

## APPENDIX I – Draft Memorandum of Understanding

### LOCAL TRANSIT AGENCY AND COMMUNITY FIRST RESPONDERS (as part of a local government Critical Incident Response Plan)

**Purpose:** To establish specific agreement between transit agency staff and Community First Responders in the event of a community incident/emergency or an incident/emergency on board a transit vehicle or on transit agency property.

**Policy/Authority:** This Memorandum of Understanding is established by (XXX CITY/COUNTY) and is agreed to by the following agencies: (POLICE, FIRE, EMERGENCY MANAGEMENT, ETC.).

#### Authority of Command:

1. The authority of command at any incident/emergency will lie with the first officer on the scene until such time as the officer assigned to the call arrives at the scene. At that point, the assigned officer is in command unless relieved by a supervisor or the (*CHIEF MARSHAL*), or if the officer relinquishes command to another officer because of specialized skills or assignment.
2. Whenever the (*CHIEF MARSHAL*) is not available, the SUCCESSION STANDARD applies.

#### Definitions:

1. *Incident Command System (ICS)* – A standard organizational system for the management of emergencies. The purpose of the ICS is to bring people, communications, and information together to manage emergency situations. ICS provides common terminology and procedures to ensure effective coordination among a variety of agencies.
2. *Incident Commander* – The person who is responsible for the overall direction and control of a disaster or other emergency.
3. *Inner Perimeter* – The immediate areas of a disaster site or police emergency.
4. *Outer Perimeter* – The demarcation of the area subject to controlled access. Areas outside the Outer Perimeter are deemed safe and open to the public. The areas inside the Outer perimeter are deemed unstable or dangerous.
5. *Operations Commander* – The person(s) in charge of any operation unit handling an emergency. The operations commanders include the police supervisor, fire supervisor, medical director or public service coordinator. These individuals are under the direction of the Incident Commander.
6. *Safety Officer* – The officer assigned responsibility for assessing hazardous or unsafe situations and developing measures for assuring personnel safety. Although the safety officer may exercise emergency authority to take immediate action to address critical safety issues, he/she normally works through the Incident or Operations Commanders.
7. *Staging Area* – Location away from the site for congregation of equipment and personnel.
8. *Temporary Morgue* – A facility established to temporarily store, process and identify the deceased at the scene of a disaster.

### General Procedures:

1. The initial response to, and the containment of, the scene is the responsibility of the on-duty patrol officer. The assigned officer takes initial command of the scene and safely directs other responding units. The first officer's priorities are to request the proper resources and secure the inner perimeter.
2. The officer assuming command of an incident will identify his/her self as the Incident Commander (IC) to dispatch other responding units.  
The Incident Commander is responsible for:
  - Request for fire, rescue, or ambulance service
  - Evacuation of injured victims and bystanders
  - Establishment of an outer perimeter around the scene
  - Establishment of a command post and incident command.
  - Coordination and communication with other agencies
  - Selection of a primary and alternate staging area along with temporary morgue if needed.
  - Initial determination of how and where equipment and personnel should be distributed.
  - Arrange for special transportation needs that may be required.
  - Authorization for news media access and news media policy.
3. Transfer of command will be face to face whenever possible. Transfer of command will occur when another agency has primary responsibility for the emergency, (such as fire, hazmat, etc.). Transfer may also occur if the supervisor or chief elect to assume command after arriving at the scene. Dispatch will be notified immediately.
4. The Incident Commander (IC) will implement the Incident Command System (ICS) to the extent needed to effectively manage the incident.
5. The Incident Commander will make use of a unified Command whenever the incident spans multiple jurisdictions unless the agency commanders agree to a single Incident Commander.
6. The Town (*or County*) of (XXX) Incident Response Plan will be used for major emergencies occurring in the Town/County.

### Interface/Coordination with Transit Agency:

1. In the event of an incident/emergency on board a transit vehicle or on transit agency property, the (XXX) Transit Agency will follow the following protocols:
  - Vehicle accident -• Personal injury to a passenger or pedestrian -• Violent passenger, driver, other employee, other -
  - Vehicle fire -• Other -
2. In the event of a **community incident/emergency** (such as flood, tornado, blizzard, fire, civil disturbance, terrorist attack, other disturbance) the XXX Transit Agency is available to assist as needed. This could include:



- Assisting in the evacuation of citizens in the affected area,
  - Transporting First Responders to and from the scene
  - Using transit vehicles in the staging area as a protected environment for First Responders or victims of the incident/emergency
  - Evacuating the elderly and/or persons with disabilities to or from nursing homes, or other care facilities
  - Other, as determined by agency management and/or the Incident Commander (IC).
3. The determination of the transit agency's response will be made by the Incident Commander in conjunction with the agency director or his/her designee.
4. Other

## APPENDIX J – PHYSICAL SECURITY OF COMPUTERS

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### **Physical Security**

The agency director or his/her designated alternate will maintain a serial numbered inventory of all agency computers. At a minimum the list will include the serial number for all portable/laptop computers and the serial number of the CPU for all desk top computers. Other items of data management equipment may be added to the inventory at the discretion of the director.

All agency computers will be marked with an agency property identification tag. The agency director, or his/her designee, will conduct a quarterly serial number inventory of all items on the computer serial numbered inventory list. A stolen property report will be filed on any equipment that cannot be located.

Agency desk top computers cannot be removed from agency facilities unless authorized in writing by the agency director or his/her designee.

### **Electronic Security**

1. All agency computers will be password protected.
2. All passwords will be changed at least quarterly. Password changes will be reported to the agency director or his/her designated representative by the agency employee assigned to the computer concerned.
3. The agency director, or his/her designate representative, will check computers when an employee leaves the agency, regardless of the circumstances, to ensure that the password has been changed.
4. The director, or his/her designated representative, will maintain a list of computer passwords in a secure location off site. The location of the site will be approved by the Board of Directors.
5. Under no circumstance will an agency employee share his/her password with anyone, other than the agency director or his/her designated representative, without the specific written permission of the director, or his/her designated representative.
6. If the agency establishes a wireless network that network will be secure.

## APPENDIX K – Crime Prevention

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### Crime Prevention

Crime prevention covers a broad array of issues. Safety is a component; security is a component; emergency awareness is a component; and it involves transit agency employees, agency volunteers, riders, and the general public (even people who do not routinely use the transit system). The intent is to take a proactive approach and try to prevent incidents before they happen by being alert to signs of trouble. The United States Department of Transportation, Federal Transit Administration has a program called “Transit Watch” that provides a structure for accomplishing these tasks.

This program can be tailored to fit an agency’s specific needs. It focuses on the following message:

Be observant, alert, watchful and aware.  
If something does not look quite right, report it to the authorities.  
Take the initiative and become the community’s transit eyes and ears.  
We can all count on a safe ride if we look out for each other.

Using education and awareness building the program seeks to create a public consciousness aimed at identify and reporting suspicious activity. From the agency’s perspective the program is primarily passive in that the agency provides awareness training and puts up posters and publicity material and then relies on riders, employees and the general public to be watchful and take action.

Because the program literature is readily available on the internet it can easily be implemented by agencies of varying sizes and resources. The transit agency can tailor the program to meet the agency’s specific needs.

This program by itself will probably not make the agency less vulnerable to crime. The transit agency also has to implement the security measures advocated throughout this document. Those measures include, but are not necessarily limited to:

1. Ensure agency vehicle storage areas are adequately lit and secured.
2. Ensure access to agency facilities are appropriately controlled.
3. Ensure keys to agency vehicles and facilities are appropriately controlled.
4. Ensure vehicle operators are appropriately securing vehicles when in operation and left unattended.
5. Ensure vehicle operators are appropriately securing out of service vehicles.
6. Ensure agency property is serial numbered and inventoried on a regular basis.

7. Ensure agency vehicles (including any administrative use vehicles) are appropriately dispatched and that utilization records are appropriately maintained.
8. Ensure that agency cash income is appropriately accounted for and secured if left overnight on the agency site.
9. Ensure that cash income is deposited in the bank as soon as practical after acquisition and ensure that a “two person rule” is implemented with respect to handling cash.
10. Ensure that agency purchase records and financial transaction records are appropriately reconciled on a by-weekly or monthly basis.
11. Other actions as deemed appropriate.

## APPENDIX L – MISSOURI HOME LAND SECURITY THREAT WARNING SYSTEM

Missouri has essentially adopted the United State Department of Homeland Security's threat level advisory system. Missouri will raise the state threat level upon notification of a general threat increase by the United State Department of Home Land Security. The Governor of Missouri may also raise the threat level in the state at his/her discretion based on information from the Department of Public Safety or other credible sources.

### Risk of Attack

### Recommended Actions

<div data-bbox="207 499 467 642"> <p><b>Low Condition Green</b></p> </div>	<p><b>Low risk of terrorist attacks</b> – <i>The following Protective Measures may be applied:</i></p> <ul style="list-style-type: none"> <li>• Refining and exercising preplanned Protective Measures;</li> <li>• Ensuring personnel receive training on HSAS, departmental; or agency-specific Protective Measures; and</li> <li>• Regularly assessing facilities for vulnerabilities and taking measures to reduce them.</li> </ul>
<div data-bbox="207 785 467 928"> <p><b>Guarded Condition Blue</b></p> </div>	<p><b>General risk of terrorist attacks</b> – <i>In addition to the previously outlined Protective Measures, the following may be applied:</i></p> <ul style="list-style-type: none"> <li>• Checking communications with designated emergency response or command locations;</li> <li>• Reviewing and updating emergency response procedures; and</li> <li>• Providing the public with necessary information.</li> </ul>
<div data-bbox="207 1071 467 1213"> <p><b>Elevated Condition Yellow</b></p> </div>	<p><b>Significant risk of terrorist attacks</b> – <i>In addition to the previously outlined Protective Measures, the following may be applied:</i></p> <ul style="list-style-type: none"> <li>• Increasing surveillance of critical locations;</li> <li>• Coordinating emergency plans with nearby jurisdictions;</li> <li>• Assessing further refinement of Protective Measures within the context of the current threat information; and</li> <li>• Implementing, as appropriate, contingency and emergency response plans.</li> </ul>
<div data-bbox="207 1381 467 1524"> <p><b>High Condition Orange</b></p> </div>	<p><b>High risk of terrorist attacks</b> – <i>In addition to the previously outlined Protective Measures, the following may be applied:</i></p> <ul style="list-style-type: none"> <li>• Coordinating necessary security efforts with armed forces or law enforcement agencies;</li> <li>• Taking additional precautions at public events;</li> <li>• Preparing to work at an alternate site or with a dispersed workforce; and</li> <li>• Restricting access to essential personnel only.</li> </ul>
<div data-bbox="207 1692 467 1835"> <p><b>Severe Condition Red</b></p> </div>	<p><b>Sever risk of terrorist attacks</b> – <i>In addition to the previously outlined Protective Measures, the following may be applied:</i></p> <ul style="list-style-type: none"> <li>• Assigning emergency response personnel and pre-positioning specially trained teams;</li> <li>• Monitoring, redirecting or constraining transportation systems;</li> <li>• Closing public and governmental facilities; and</li> <li>• Increasing or redirecting personnel to address critical emergency needs.</li> </ul>

## GLOSSARY OF TERMS - SECURITY

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<b>Emergency:</b>	A situation that is life threatening to passengers, employees, or other interested citizens or that causes damage to any transit vehicle or facility or results in the significant theft of services and reduces the ability of the system to fulfill its mission.
<b>Fatality:</b>	A transit-caused death that occurs within 30 days of the transit incident.
<b>Injury:</b>	Any physical damage or harm to a person that requires immediate medical attention and hospitalization.
<b>Safety:</b>	Freedom from danger.
<b>Security:</b>	Freedom from intentional danger
<b>Security breach:</b>	An unforeseen event or occurrence that endangers life or property and may result in the loss of services or system equipment.
<b>Security incident</b>	An unforeseen event or occurrence that does not necessarily result in death, injury, or significant property damage but may result in minor loss of revenue.
<b>Security threat:</b>	Any source that may result in a security breach, such as vandalism or a disgruntled employee's actions; such as an assault, intrusion, fire, etc.
<b>System:</b>	A composite of people (employees, passengers, others), property (facilities and equipment), environment (physical, social, institutional), and procedures (standard operating, emergency operating, and training) that are integrated to perform a specific operational function in a specific environment.
<b>System security:</b>	The application of operating, technical, and management techniques and principles to the security aspects of a system throughout its life to reduce threats and vulnerabilities to the most practical level through the most effective use of available resources.
<b>System security management:</b>	An element of management that defines the system security requirements and ensures the planning, implementation, and accomplishments of system security tasks and activities.

**System security Program:** The combined tasks and activities of system security management and system security analysis that enhance operational effectiveness by satisfying the security requirements in a timely and cost-effective manner through all phases of a system life cycle.

**Threat:** Any real or potential condition that can cause injury or death to passengers or employees or damage to or loss of transit equipment, property, and/or facilities.

**Threat analysis:** A systematic analysis of a system operation performed to identify threats and make recommendations for their elimination or mitigation during all revenue and non revenue operation.

**Threat probability:** The probability a threat will occur during the plan's life. Threat probability may be expressed in quantitative or qualitative terms. An example of a threat-probability ranking system is as follows: (a) frequent, (b) probable, (c) occasional, (d) remote, (e) improbable, and (f) impossible.

**Threat resolution:** The analysis and subsequent action taken to reduce the risks associated with an identified threat to the lowest practical level.

**Threat severity:** A qualitative measure of the worst possible consequences of a specific threat:

- **Category 1 - Catastrophic.** May cause death or loss of a significant component of the transit system, or significant financial loss.
- **Category 2 - Critical.** May cause severe injury, severe illness, major transit system damage, or major financial loss.
- **Category 3 - Marginal.** May cause minor injury or transit system damage, or financial loss.
- **Category 4 - Negligible.** Will not result in injury, system damage, or financial loss.

**Unsafe condition or act:** Any condition or act that endangers life or property.

**Vulnerability:** Characteristics of passengers, employees, vehicles, and/or facilities that increase the probability of a security breach.

## ADDITIONAL RESOURCES - SECURITY

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[http://www.ops.fhwa.dot.gov/publications/ics\\_guide/ics\\_guide.pdf](http://www.ops.fhwa.dot.gov/publications/ics_guide/ics_guide.pdf)
2. "Regional Disaster Resilience: A Guide for Developing an Action Plan," The Infrastructure Security Partnership (TISP), American Society of Civil Engineers, June 2006. [http://www.tisp.org/rdr\\_guide](http://www.tisp.org/rdr_guide)
3. "Checklists for Emergency Response Planning and System Security," American Public Transportation Association, December 2001.  
<http://www.apta.com/services/safety/checklist.cfm>
4. Transportation Research Board, Transportation System Security webpage,  
<http://www4.nas.edu/trb/homepage.nsf/web/security/>
5. Amalgamated Transit Union, Safety/Security: Transit Security, Moving America and Canada Safely and Securely webpage.  
[http://www.atu.org/docs/safety\\_security/safety\\_transitsecurity.html](http://www.atu.org/docs/safety_security/safety_transitsecurity.html)
6. "General Security Risk Assessment Guideline," American Society for Industrial Security (ASIS), 2003. [http://transit-safety.volpe.dot.gov/security/SecurityInitiatives/Top20/2%20--%20Security%20Problem%20Identification/8%20--%20Threat%20and%20Vulnerability%20Assessment/Essential/ASIS\\_Security\\_Risk\\_Assessment\\_Guidelines.pdf#page=11](http://transit-safety.volpe.dot.gov/security/SecurityInitiatives/Top20/2%20--%20Security%20Problem%20Identification/8%20--%20Threat%20and%20Vulnerability%20Assessment/Essential/ASIS_Security_Risk_Assessment_Guidelines.pdf#page=11)
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<http://www.ntionline.com/topic.asp?TopicArea=5>.
8. "A Guide to Public Transportation Security Resources," Transit Cooperative Research Program sponsored by the Federal Transit Administration, Research Results Digest, May 2003 – Number 59,  
<http://www.cutr.usf.edu/bussafety/documents/tcrp-59.pdf>.
9. "Protecting Public Surface Transportation Against Terrorism and Serious Crime: Continuing Research on Best Security Practices," Mineta Transportation Institute, MTI Report 01-07, September 2001.  
<http://www.cutr.usf.edu/bussafety/documents/terrorism-final.pdf>.
10. "Improving Transit Security, A Synthesis of Transit Practices – TCRP Synthesis 21," Transportation Research Board, National Research Council, 1997.  
<http://www.cutr.usf.edu/bussafety/documents/tsyn-21.pdf>.



11. Missouri's State Emergency Management Agency website contains information on current emergency issues, including links to a variety of useful resources such as available training opportunities (many funded by SEMA at no cost to participants) and to SEMA sponsored activities such as the Missouri Emergency Response Commission (MERC), the State Commission that works with Local Emergency Planning Commissions (LEPC).  
<http://sema.dps.mo.gov/semapage.htm>

## REFERENCES - SECURITY

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The following were resources used to develop the policies and procedures documented in this SSEP Program Plan:

**Title: Transit System Security Program Planning Guide**

Author(s): John Balog and Anne Schwarz

Year: 1994

Sponsoring Agency: Federal Transit Administration (FTA)

Volpe Report #: DOT-VNTSC-FTA-94-01

DOT Number: FTA-MA-90-7001-94-1

NTIS Number: PB94-161973

Available: <http://www.transit-safety.volpe.dot.gov/Publications/order/default.asp>

**Title: Transit Security Handbook**

Author(s): Annabelle Boyd and James Caton

Year: 1998

Sponsoring Agency: Federal Transit Administration (FTA)

Volpe Report #: DOT-VNTSC-FTA-98-03

DOT Number: FTA-MA-90-9007-98-1

NTIS Number: PB98-157761

Available: <http://www.transit-safety.volpe.dot.gov/Publications/order/default.asp>

**Title: Critical Incident Management Guidelines**

Authors: Annabelle Boyd and James Caton

Year: 1998

Sponsoring Agency: Federal Transit Administration (FTA)

Volpe Report #: DOT-VNTSC-FTA-98-05

DOT Number: FTA-MA-26-7009-98-1

Available: <http://www.transit-safety.volpe.dot.gov/Publications/order/default.asp>

**Title: Transit Security Procedures Guide**

Author(s): John Balog and Anne Schwarz

Year: 1996

Sponsoring Agency: Federal Transit Administration (FTA)

Volpe Report #: DOT-VNTSC-FTA-94-08

DOT Number: FTA-MA-90-7001-94-2 9

Available: <http://www.transit-safety.volpe.dot.gov/Publications/order/default.asp>

**Title: Emergency Preparedness for Transit Terrorism**

Authors: Annabelle Boyd and John P. Sullivan

Year: 1997

Sponsoring Agency: Transportation Research Board

Report Number Transit Cooperative Research Program Synthesis Number 27

Web site: [http://trb.org/news/blurbs\\_detail.asp?id=2434](http://trb.org/news/blurbs_detail.asp?id=2434)

Title: **Perspectives on Transit Security in the 1990s: Strategies for Success**

Author(s): Annabelle Boyd and Patricia Maier

Year: 1996

Sponsoring Agency: Federal Transit Administration (FTA)

Volpe Report #: DOT-VNTSC-FTA-96-02

DOT Number: FTA-MA-90-7006-96-01

NTIS Number: PB96-185871

Available: <http://www.transit-safety.volpe.dot.gov/Publications/order/default.asp>

Title: **Transit Security in the 90's**

Author(s): Kathryn Powell and Annabelle Boyd

Year: 1996

Sponsoring Agency: Federal Transit Administration (FTA)

Keywords: Local transit-Security measures

Volpe Report #: DOT-VNTSC-FTA-96-11

DOT Number: FTA-MA-26-9009-97-01

NTIS Number: PB97-146989

Available: <http://www.transit-safety.volpe.dot.gov/Publications/order/default.asp>

Title: **Protecting Surface Transportation Systems and Patrons from Terrorist Activities – Volume One**

Author: Brian Michael Jenkins

Year: January 1997

Sponsoring Agency: San Jose University, Mineta International Institute for Surface Transportation Policy Studies

Report Number: IISTPS 97-4

Full text available at: <http://www.transweb.sjsu.edu/mtiportal/research/publications.html>

Title: **Protecting Surface Transportation Systems Against Terrorism and Serious Crime – 2001 Update**

Author: Brian Michael Jenkins

Year: October 2001

Sponsoring Agency: San Jose University, Mineta International Institute for Surface Transportation Policy Studies

Report Number: IISTPS 01-7

Full text available at: <http://www.transweb.sjsu.edu/mtiportal/research/publications.html>

Title: **Improving Transit Security**

Authors: Jerome A. Needle and Renee M. Cobb, J.D,

Year: 1997

Sponsoring Agency: Transportation Research Board

Report Number Transit Cooperative Research Program Synthesis Number 21

Web site: <http://nationalacademies.org/trb/publications/tcrp/tsyn21.pdf>

# **Missouri's Model Transit Bus Safety and Security Program**

## **SUBSTANCE ABUSE PROGRAMS**

### **SECTION FIVE**

**MISSOURI DEPARTMENT OF TRANSPORTATION  
(MoDOT)  
TRANSIT SECTION**

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## **SECTION FIVE – DRUG AND ALCOHOL POLICY REQUIREMENTS:**

This document provides minimum guidance for transit agencies in the implementation of a substance abuse policy document. Rural agencies in particular may wish to consult with MoDOT's Transit Section on consortium options and/or requirements for procuring drug and alcohol program services. This will most likely be done by an external agency or private contractor on a fee for service basis.

Agencies who receive funding through Section 5307, 5309, or 5311 FTA grant programs must have a Substance Abuse Program. Agencies who receive funding through the Section 5310 FTA grant program are exempt from these requirements. All policies must be in compliance with 49 CFR, Parts 655 and 40.

All agencies should seek and heed the advice of legal counsel to ensure final versions of policies are consistent with current law. MoDOT's Transit Section will, upon request, review transit agency substance abuse policies for compliance with current federal requirements. Once established policies must be reviewed yearly by the agency board and legal counsel to insure continued compliance with state and federal law.

### **ELEMENTS REQUIRED IN A TRANSIT AGENCY SUBSTANCE ABUSE POLICY INCLUDE:**

#### **1. Designated Contact Person and Board Adoption:**

- ☐ Identification of designated employer representative (DER) by person, office, branch and/or position.
- ☐ Proof of policy adoption by local Governing Board or other authorized official.

#### **2. Description of Transit Agency's Covered Employees:**

A safety sensitive employee performs one or more of the following:

- ☐ Operation of a revenue service vehicle, in or out of revenue service.
- ☐ Operation of a non-revenue vehicle requiring a CDL.
- ☐ Controlling movement or dispatch of a revenue service vehicle (determined by employer).
- ☐ Security personnel who carry firearms.
- ☐ Maintenance of a revenue service vehicle.
- ☐ Contractor employees who stand in the shoes of Transit System employees also have to comply (excludes contract maintenance for Sec. 5311 grantees).

### 3. **Prohibited Substances.** The following substances are prohibited:

#### A. MARIJUANA – It is illegal to possess this substance.

##### Indicators of Impairment:

- ☐ Odor of marijuana
- ☐ Impaired perception of time and distance
- ☐ Marked reddening of whites of eyes
- ☐ Body tremors
- ☐ Disorientation
- ☐ Impaired attention
- ☐ Relaxed inhibitions
- ☐ Possible paranoia

##### Duration of Effects:

- ☐ 2-3 hours exhibits effects
- ☐ May last up to 24 hours with out awareness of effect

##### Impact on Vehicle Operation:

- ☐ Impaired judgment; may not be able to adequately assess dangerous situations or may respond inappropriately to dangerous situations
- ☐ Disorientation; may not be able to follow schedules or service routes, may get lost
- ☐ Physical symptoms; may not be physically able to operate a vehicle

#### B. CNS STIMULANTS (i.e. Cocaine, amphetamines. Methamphetamines) – It is illegal to possess this substance.

##### Indicators of Impairment:

- ☐ Restlessness
- ☐ Anxiety
- ☐ Euphoria
- ☐ Talkativeness
- ☐ Excitation
- ☐ Body tremors
- ☐ Exaggerated reflexes
- ☐ Loss of appetite
- ☐ Insomnia

If subject snorts cocaine:

- ☐ Runny nose
- ☐ Redness to nasal area

Duration of Impairment:

- ☐ Cocaine: 5-90 minutes
- ☐ Amphetamines: 4-8 hours
- ☐ Methamphetamines: 12 hours

Impact on Vehicle Operation:

- ☐ May respond inappropriately to passengers.
- ☐ May respond inappropriately to unusual situations.
- ☐ May not be physically capable of operating a vehicle.
- ☐ May not be emotionally capable of operating a vehicle.

C. Narcotics – It is illegal to possess most narcotic based substances.

- ☐ Indicators of Impairment:  
“Track marks”
- ☐ Depressed reflexes
- ☐ Low, slow, raspy speech
- ☐ Facial itching
- ☐ Dry mouth
- ☐ Euphoria
- ☐ Pupils visibly and obviously constricted

Duration of Impairment:

- ☐ Varies with drug but can last from 4 to 24 hours

Impact on Vehicle Operation:

- ☐ May not be able to communicate with passengers and co-workers
- ☐ May demonstrate slowed reflexes and impaired judgment
- ☐ May be emotionally unable to work or interact appropriately

D. BARBITUATES – Sources:

- ☐ May be purchased legally
- ☐ May be prescribed
- ☐ May be acquired illegally



Indicators of Impairment:

- ☐ Uncoordinated
- ☐ Disoriented
- ☐ Drowsiness
- ☐ Thick, slurred speech
- ☐ Uncoordinated
- ☐ Fumbling
- ☐ Slow, sluggish reactions

Duration of Impairment:

- ☐ Varies with the substance from 1 hour to 16 hours

Impact on Vehicle Operation:

- ☐ Impaired judgment
- ☐ Impaired reflexes
- ☐ Impaired social interaction
- ☐ Impaired physical ability

E. ALCOHOL – Sources:

- ☐ May be purchased legally
- ☐ May be prescribed
- ☐ May be acquired illegally

Indicators of Impairment:

- ☐ Uncoordinated
- ☐ Disoriented
- ☐ Drowsiness
- ☐ Thick, slurred speech
- ☐ Uncoordinated
- ☐ Fumbling
- ☐ Slow, sluggish reactions

Duration of Impairment:

- ☐ Varies with the substance from 1 hour to 16 hours

Impact on Vehicle Operation:

- ☐ Impaired judgment
- ☐ Impaired reflexes

- ☐ Impaired social interaction
- ☐ Impaired physical ability

#### **4. Pre-Employment Testing and Background Check:**

- ☐ A Negative test result is required before 1st duty day in a safety-sensitive position, must make up if cancelled, Transit Agency must have actually received negative test report before allowing the employee to perform safety-sensitive functions.
- ☐ Previous employer's testing is not acceptable.
- ☐ Testing cannot take place more than 90 days previous to hire.
- ☐ Job application must indicate employment requiring USDOT substance abuse testing in the prior three years, with follow-up by transit agency.
- ☐ Applicant who failed/refused test must show evidence of treatment.
- ☐ If pre-employment alcohol test administered, must follow Part 40 regulations.
- ☐ Transit Agency must contact previous DOT-regulated employers for testing information and must provide the same when contacted by others. Applicant must give written permission to the Transit Agency for them to obtain the information.

#### **5. Reasonable Suspicion Testing:**

- ☐ Trained supervisor required for determination to test.
- ☐ Documented Physical behavior, performance, contemporaneous observation.
- ☐ Employee removed from safety sensitive duties until result received
- ☐ Testing for drug use may take place anytime an employee is on duty. Testing for alcohol use may take place only if the observations are made during, just preceding, or immediately following the performance of safety-sensitive functions.

#### **6. Post – Accident Testing:**

Testing is required if there is a:

- ☐ Fatality
- ☐ Medical treatment is sought away from the scene, or if there is disabling damage to any vehicle.

Testing is not required if the employee can be completely discounted as a contributing factor.

- ☐ Determination to test/not test must be documented.
- ☐ Drug test must be completed within 32 hours of accident.
- ☐ Alcohol test must be completed within 8 hours of accident and should be completed before the drug test.

- ☐ If no alcohol test is completed after 2 hours, document. If there is no test after 8 hours, update documentation.
- ☐ Employee must be readily available and may not consume alcohol, or such an act is considered a refusal to test.
- ☐ The employee must remain readily available for resolution and medical treatment. The employee must consent and provide a specimen.

#### **7. Return-to-Duty and Follow-Up Testing:**

- ☐ Conducted in accordance with Part 40, subpart O.
- ☐ The return to duty and follow-up testing schedule is established by SAP.
- ☐ There must be a minimum of 6 unannounced tests in a 12 month period; maximum period 60 months,

#### **8. Random Testing:**

- ☐ A scientifically valid selection method must be used.
- ☐ Testing should be conducted on all days and hours throughout the year with an even distribution throughout the hours of operation, days of operation and time period covered by the random draw (weekly, monthly, or quarterly).
- ☐ Random testing should be unannounced and immediate.
- ☐ No discretion can be exercised by management or operations.

#### **9. Prohibited Behavior:**

- ☐ Alcohol use 4 hours prior, on call, while performing duty.
- ☐ Alcohol use 8 hours after accident or until tested.
- ☐ Refusal to submit to testing.
- ☐ Use of illegal drugs.
- ☐ Performance of safety sensitive duties when on prescription or over the counter drugs that negatively impact performance.

#### **10. Period of Coverage:**

- ☐ Drug test –just before, during, or immediately after performing a safety-sensitive duty.
- ☐ Alcohol test – just before, during, or immediately after safety-sensitive duty.

#### **11. Testing Methods:**

- ☐ Drug & alcohol tests – detailed discussion in policy now optional.
- ☐ It is only necessary to reference Part 40, but if referenced, copies must be available for employees.

**12. Test Requirements:**

- ☐ All covered employees are required to submit to drug and alcohol tests as a condition of employment in accordance with Part 655.

**13. Test Refusal:**

- ☐ Failure to provide breath or urine sample.
- ☐ Insufficient volume without valid medical explanation.
- ☐ Tampering, adulterating, or substituting specimen.
- ☐ Failing to appear at collection site within a reasonable time – defined by employer.
- ☐ Leaving the scene of an accident without just cause prior to submitting to a test.
- ☐ Leaving collection facility prior to test completion.
- ☐ Failing to permit an observed or monitored collection when required.
- ☐ Failing to take a second test when required.
- ☐ Failing to undergo a medical examination when required.
- ☐ Failing to cooperate with any part of the testing process.
- ☐ Once test is underway, failing to remain at site and provide a specimen.
- ☐ For pre-employment, failure to appear is not a refusal.
- ☐ For pre-employment, failure to remain at site prior to commencement of test is not a refusal.
- ☐ For pre-employment, aborting the collection before the test commences is not a refusal.

**14. Consequences to the Employee for Refusal to Test or Failure to Complete the Test:**

- ☐ ANY EMPLOYEE WHO REFUSES TO TEST FOR ANY OF THE REASONS NOTED ABOVE SHOULD BE TERMINATED IMMEDIATELY.
- ☐ ANY PRE-SERVICE EMPLOYEE WHO FAILS TO COMPLETE THE TEST SHOULD NOT BE HIRED BY THE AGENCY.

**15. Consequences to the Employee for Positive Test Results:**

- A. Positive drug or alcohol (above 0.04) test result or test refusal.
- B. BAC (0.02 to 0.039) off duty minimum of 8 hours.
- C. Dilute negative.
- D. Dilute negative results 2-5 mg/dl.
  - ☐ When positive, immediately remove employee from safety-sensitive position.
  - ☐ Refer employee with positive test result for assessment by a Substance Abuse Professional.

- ☐ Apply transit system disciplinary policy.
- ☐ SAP Referral required (indicate who pays for SAP services).
- ☐ All employees/applicants must be given valid contact information in the policy document for a USDOT-qualified SAP and backup SAP, and if they test positive.

**16. Additional Employer Provisions Allowed:**

- ☐ Additional employer provisions must be clearly identified in the policy.
- ☐ The provisions of the Drug Free Workplace Act of 1988 may be incorporated in the policy statement but must be so identified.
  - No criminal conviction for any of the following on-the-job conduct,
  - Manufacture of drugs,
  - Distribution of drugs,
  - Sale of drugs,
  - Use of drugs.
- ☐ Conviction reporting requirements.
  - Employees charged with any of the above identified offenses while on the job will immediately be re-assigned to non-public contact duties. If an employee is convicted of any of the above identified offenses the employee will immediately be discharged from employment with the transit agency.

**The sample policy document ends here.**

**The following sections include suggestions on things a transit agency can do to enhance compliance with a substance abuse policy.**

**COMPLIANCE TIPS:**

1. The policy must be approved by the governing board of each agency. The effective date should be on the cover of all copies.
2. Policy distribution – Employees should be requested to sign a confirmation of receipt form and a copy of that form retained in employee file.
3. Make sure future revisions of a substantive nature also receive Board approval.
4. Make sure all employees have the most current version of the policy.
5. Clearly differentiate between FTA and company authority within the policy document.
6. Transit agencies may have a more stringent policy for testing but for non-FTA required testing, federal chain-of-custody forms cannot be used.

**PRESCRIPTION AND OVER-THE-COUNTER MEDICATIONS:**

The FTA has not issued any regulations concerning the use of prescription and over-the-counter medications. However, transit agencies should monitor their employees' performance and encourage voluntary disclosure of any medications used.

**TRAINING:**

All new employees must receive one hour of training on Substance Abuse before performing any safety-sensitive duties. All safety-sensitive employees should receive an additional hour of training annually.

Supervisors must receive training concerning Reasonable Suspicion testing, one hour on the signs of drug abuse and one hour on the signs of alcohol abuse. Transit agencies are encouraged to give refresher courses to all supervisors at least every five years.

**COLLECTION SITES:**

Each transit agency is responsible for auditing their collection site(s) to ensure the testing procedures are compliant with the regulations.

## APPENDIX – SUBSTANCE ABUSE PROGRAMS

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# APPENDIX A – FEDERAL DRUG TESTING CUSTODY AND CONTROL FORM

FEDERAL DRUG TESTING CUSTODY AND CONTROL FORM			
 <b>1234567</b> <small>SPECIMEN ID NO.</small>		<small>LAB ACCESSION NO.</small>  	
<b>STEP 1: COMPLETED BY COLLECTOR OR EMPLOYER REPRESENTATIVE</b> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><b>A. Employer Name, Address, I.D. No.</b></p> </div> <div style="width: 45%;"> <p><b>B. MRO Name, Address, Phone and Fax No.</b></p> </div> </div> <p><b>C. Donor SSN or Employee, I.D. No.</b></p> <p><b>D. Reason for Test:</b>    <input type="checkbox"/> Pre-employment    <input type="checkbox"/> Random    <input type="checkbox"/> Reasonable Suspicion/Cause    <input type="checkbox"/> Post Accident           <input type="checkbox"/> Return to Duty    <input type="checkbox"/> Follow-up    <input type="checkbox"/> Other (specify) _____</p> <p><b>E. Drug Tests to be Performed:</b>    <input type="checkbox"/> THC, COC, PCP, CPI, AMP    <input type="checkbox"/> THC &amp; COC Only    <input type="checkbox"/> Other (specify) _____</p> <p><b>F. Collection Site Address:</b> _____</p> <p style="text-align: right;"><small>Collector Phone No.</small> _____  <small>Collector Fax No.</small> _____</p>			
<b>STEP 2: COMPLETED BY COLLECTOR</b> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>Read specimen temperature within 4 minutes, is temperature between 90° and 100° F? <input type="checkbox"/> Yes    <input type="checkbox"/> No, Enter Remark _____</p> </div> <div style="width: 45%;"> <p><b>Specimen Collection:</b>  <input type="checkbox"/> Split    <input type="checkbox"/> Single    <input type="checkbox"/> None Provided (Enter Remark) _____    <input type="checkbox"/> Observed (Enter Remark) _____</p> </div> </div> <p><b>REMARKS</b> _____</p>			
<p><b>STEP 3: Collector affixes bottle seal(s) to bottle(s). Collector dates seal(s). Donor initials seal(s). Donor completes STEP 5 on Copy 2 (MRO Copy)</b></p> <p><b>STEP 4: CHAIN OF CUSTODY - INITIATED BY COLLECTOR AND COMPLETED BY LABORATORY</b></p> <p>I certify that the specimen given to me by the donor identified in the certification section on Copy 2 of this form was collected, labeled, sealed and released to the Delivery Service noted in accordance with applicable Federal requirements.</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><input checked="" type="checkbox"/> _____  <small>Signature of Collector</small>    <small>Time of Collection</small> <span style="float: right;">AM PM</span>  <small>(PRINT) Collector's Name (First, MI, Last)</small>    <small>Date (Mo./Day/Yr.)</small></p> </div> <div style="width: 45%;"> <p><b>SPECIMEN BOTTLE(S) RELEASED TO:</b> _____  <small>Name of Delivery Service Transferring Specimen to Lab</small></p> </div> </div>			
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><b>RECEIVED AT LAB:</b>  <input checked="" type="checkbox"/> _____  <small>Signature of Accessioner</small>    <small>Date (Mo./Day/Yr.)</small>  <small>(PRINT) Accessioner's Name (First, MI, Last)</small></p> </div> <div style="width: 45%;"> <p><b>Primary Specimen Bottle Seal Intact</b>  <input type="checkbox"/> Yes    <input type="checkbox"/> No, Enter Remark Below _____</p> </div> </div> <p><b>SPECIMEN BOTTLE(S) RELEASED TO:</b> _____</p>			
<p><b>STEP 5a: PRIMARY SPECIMEN TEST RESULTS - COMPLETED BY PRIMARY LABORATORY</b></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><input type="checkbox"/> NEGATIVE    <input type="checkbox"/> POSITIVE for:    <input type="checkbox"/> MARIJUANA METABOLITE    <input type="checkbox"/> COCAINE    <input type="checkbox"/> AMPHETAMINE    <input type="checkbox"/> ADULTERATED  <input type="checkbox"/> DILUTE    <input type="checkbox"/> COCAINE METABOLITE    <input type="checkbox"/> MORPHINE    <input type="checkbox"/> METHAMPHETAMINE    <input type="checkbox"/> SUBSTITUTED  <input type="checkbox"/> REJECTED FOR TESTING    <input type="checkbox"/> PCP    <input type="checkbox"/> SACETYLMORPHINE    <input type="checkbox"/> INVALID RESULT</p> </div> <div style="width: 45%;"> <p><b>REMARKS</b> _____</p> </div> </div> <p><b>TEST LAB (if different from above)</b> _____</p> <p>I certify that the specimen identified on this form was examined upon receipt, handled using chain of custody procedures, analyzed, and reported in accordance with applicable Federal requirements.</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><input checked="" type="checkbox"/> _____  <small>Signature of Certifying Scientist</small>    <small>Date (Mo./Day/Yr.)</small>  <small>(PRINT) Certifying Scientist's Name (First, MI, Last)</small></p> </div> <div style="width: 45%;"> <p>_____</p> </div> </div>			
<p><b>STEP 5b: SPLIT SPECIMEN TEST RESULTS - (IF TESTED) COMPLETED BY SECONDARY LABORATORY</b></p> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><small>Laboratory Name</small> _____  <small>Laboratory Address</small> _____</p> </div> <div style="width: 45%;"> <p><input type="checkbox"/> RECONFIRMED    <input type="checkbox"/> FAILED TO RECONFIRM - REASON _____  I certify that the split specimen identified on this form was examined upon receipt, handled using chain of custody procedures, analyzed, and reported in accordance with applicable Federal requirements.</p> </div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p><input checked="" type="checkbox"/> _____  <small>Signature of Certifying Scientist</small>    <small>Date (Mo./Day/Yr.)</small>  <small>(PRINT) Certifying Scientist's Name (First, MI, Last)</small></p> </div> <div style="width: 45%;"> <p>_____</p> </div> </div>			
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>  <b>1234567</b>    <b>A</b>  <small>SPECIMEN ID NO.</small></p> </div> <div style="width: 45%;"> <p style="text-align: center;"><b>PLACE OVER CAP</b></p> <p><b>1234567</b>  <b>SPECIMEN BOTTLE SEAL</b></p> </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="width: 45%;"> <p>  <b>1234567</b>    <b>B (SPUT)</b>  <small>SPECIMEN ID NO.</small></p> </div> <div style="width: 45%;"> <p style="text-align: center;"><b>PLACE OVER CAP</b></p> <p><b>1234567</b>  <b>SPECIMEN BOTTLE SEAL</b></p> </div> </div>			
<b>COPY 1 - LABORATORY</b>			

**Drug Form Part 1**  
Face Ink: 007 BLK / 000 RED  
Date: 05/09/00  
Not To Use For Colormatch  
Follow PMS Guide For Colors



FEDERAL DRUG TESTING CUSTODY AND CONTROL FORM			
 SPECIMEN ID NO. <b>1234567</b>		LAB ACCESSION NO.	
<b>STEP 1: COMPLETED BY COLLECTOR OR EMPLOYER REPRESENTATIVE</b>			
A. Employer Name, Address, I.D. No.		B. MRO Name, Address, Phone and Fax No.	
C. Donor SSN or Employee I.D. No.			
D. Reason for Test: <input type="checkbox"/> Pre-employment <input type="checkbox"/> Random <input type="checkbox"/> Reasonable Suspicion/Cause <input type="checkbox"/> Post Accident <input type="checkbox"/> Return to Duty <input type="checkbox"/> Follow-up <input type="checkbox"/> Other (specify) _____			
E. Drug Tests to be Performed: <input type="checkbox"/> THC, COC, PCP, OPI, AMP <input type="checkbox"/> THC & COC Only <input type="checkbox"/> Other (specify) _____			
F. Collection Site Address: _____			
Collector Phone No. _____		Collector Fax No. _____	
<b>STEP 2: COMPLETED BY COLLECTOR</b>			
Read specimen temperature within 4 minutes. Is temperature between 90° and 100° F? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No, Enter Remark _____		Specimen Collection: <input type="checkbox"/> Split <input type="checkbox"/> Single <input type="checkbox"/> None Provided (Enter Remark) _____ <input type="checkbox"/> Observed (Enter Remark) _____	
<b>REMARKS</b>			
STEP 3: Collector affixes bottle seal(s) to bottle(s). Collector dates seal(s). Donor initials seal(s). Donor completes STEP 5 on Copy 2 (MRO Copy)			
<b>STEP 4: CHAIN OF CUSTODY - INITIATED BY COLLECTOR AND COMPLETED BY LABORATORY</b>			
I certify that the specimen given to me by the donor identified in the certification section on Copy 2 of this form was collected, labeled, sealed and released to the Delivery Service noted in accordance with applicable Federal requirements.			
<input checked="" type="checkbox"/> Signature of Collector _____ (PRINT) Collector's Name (First, MI, Last)		Time of Collection: <u>AM</u> <u>PM</u> Date (Mo./Day/Yr.): _____	
<b>RECEIVED AT LAB:</b>		<b>SPECIMEN BOTTLE(S) RELEASED TO:</b>	
<input checked="" type="checkbox"/> Signature of Accessioner _____ (PRINT) Accessioner's Name (First, MI, Last)		Name of Delivery Service Transferring Specimen to Lab: _____	
<input checked="" type="checkbox"/> Primary Specimen Bottle Seal Intact <input type="checkbox"/> Yes <input type="checkbox"/> No, Enter Remark Below _____		<b>SPECIMEN BOTTLE(S) RELEASED TO:</b>	
<b>STEP 5: COMPLETED BY DONOR</b>			
I certify that I provided my urine specimen to the collector; that I have not adulterated it in any manner; each specimen bottle used was sealed with a tamper-evident seal in my presence; and that the information provided on this form and on the label affixed to each specimen bottle is correct.			
<input checked="" type="checkbox"/> Signature of Donor _____ (PRINT) Donor's Name (First, MI, Last)		Date (Mo./Day/Yr.): _____ Daytime Phone No. ( ) _____ Evening Phone No. ( ) _____ Date of Birth: Mo. / Day / Yr.	
Should the results of the laboratory tests for the specimen identified by this form be confirmed positive, the Medical Review Officer will contact you to ask about prescriptions and over-the-counter medications you may have taken. Therefore, you may want to make a list of those medications for your own records. THIS LIST IS NOT NECESSARY. If you choose to make a list, do so either on a separate piece of paper or on the back of your copy (Copy 5). —DO NOT PROVIDE THIS INFORMATION ON THE BACK OF ANY OTHER COPY OF THE FORM. TAKE COPY 5 WITH YOU.			
<b>STEP 6: COMPLETED BY MEDICAL REVIEW OFFICER - PRIMARY SPECIMEN</b>			
In accordance with applicable Federal requirements, my determination/verification is:			
<input type="checkbox"/> NEGATIVE <input type="checkbox"/> POSITIVE <input type="checkbox"/> TEST CANCELLED <input type="checkbox"/> REFUSAL TO TEST BECAUSE: <input type="checkbox"/> DILUTE <input type="checkbox"/> ADULTERATED <input type="checkbox"/> SUBSTITUTED			
<b>REMARKS</b>			
<input checked="" type="checkbox"/> Signature of Medical Review Officer _____ (PRINT) Medical Review Officer's Name (First, MI, Last)		Date (Mo./Day/Yr.): _____	
<b>STEP 7: COMPLETED BY MEDICAL REVIEW OFFICER - SPLIT SPECIMEN</b>			
In accordance with applicable Federal requirements, my determination/verification for the split specimen (if tested) is:			
<input type="checkbox"/> RECONFIRMED <input type="checkbox"/> FAILED TO RECONFIRM - REASON: _____			
<input checked="" type="checkbox"/> Signature of Medical Review Officer _____ (PRINT) Medical Review Officer's Name (First, MI, Last)		Date (Mo./Day/Yr.): _____	

0000-0000-0025


COPY 2 - MEDICAL REVIEW OFFICER COPY

Drug Form Part 2  
Face Ink: 000 BLK / 000 RED  
Date: 05/09/00  
Not To Use For Colormatch  
Follow FMS Guide For Colors

FEDERAL DRUG TESTING CUSTODY AND CONTROL FORM			
		<b>SPECIMEN ID NO. 1234567</b>	
<b>STEP 1: COMPLETED BY COLLECTOR OR EMPLOYER REPRESENTATIVE</b>		<b>LAB ACCESSION NO.</b>	
<b>A. Employer Name, Address, I.D. No.</b>		<b>B. MRO Name, Address, Phone and Fax No.</b>	
<b>C. Donor SSN or Employee I.D. No.</b>			
<b>D. Reason for Test:</b> <input type="checkbox"/> Pre-employment <input type="checkbox"/> Random <input type="checkbox"/> Reasonable Suspicion/Cause <input type="checkbox"/> Post Accident <input type="checkbox"/> Return to Duty <input type="checkbox"/> Follow-up <input type="checkbox"/> Other (specify) _____			
<b>E. Drug Tests to be Performed:</b> <input type="checkbox"/> THC, COC, PCP, OPI, AMP <input type="checkbox"/> THC & COC Only <input type="checkbox"/> Other (specify) _____			
<b>F. Collection Site Address:</b> _____			
Collector Phone No. _____		Collector Fax No. _____	
<b>STEP 2: COMPLETED BY COLLECTOR</b>			
Read specimen temperature within 4 minutes. Is temperature between 90° and 100° F? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No. Enter Remark _____		Specimen Collection: <input type="checkbox"/> Split <input type="checkbox"/> Single <input type="checkbox"/> None Provided (Enter Remark) _____ <input type="checkbox"/> Observed (Enter Remark) _____	
<b>REMARKS</b>			
<b>STEP 3: Collector affixes bottle seal(s) to bottle(s). Collector dates seal(s). Donor initials seal(s). Donor completes STEP 5 on Copy 2 (MRO Copy)</b>			
<b>STEP 4: CHAIN OF CUSTODY - INITIATED BY COLLECTOR AND COMPLETED BY LABORATORY</b>			
I certify that the specimen given to me by the donor identified in the certification section on Copy 2 of this form was collected, labeled, sealed and released to the Delivery Service noted in accordance with applicable Federal requirements.			
<input checked="" type="checkbox"/> Signature of Collector _____ (PRINT) Collector's Name (First, MI, Last) _____		<b>SPECIMEN BOTTLE(S) RELEASED TO:</b> Name of Delivery Service Transferring Specimen to Lab _____	
<input checked="" type="checkbox"/> Signature of Accessioner _____ (PRINT) Accessioner's Name (First, MI, Last) _____		<b>Primary Specimen Bottle Seal Intact:</b> <input type="checkbox"/> Yes <input type="checkbox"/> No. Enter Remark Below _____	
<b>STEP 5: COMPLETED BY DONOR</b>			
I certify that I provided my urine specimen to the collector; that I have not adulterated it in any manner; each specimen bottle used was sealed with a tamper-evident seal in my presence; and that the information provided on this form and on the label affixed to each specimen bottle is correct.			
<input checked="" type="checkbox"/> Signature of Donor _____ (PRINT) Donor's Name (First, MI, Last) _____		Date (Mo./Day/Yr.) _____	
Daytime Phone No. ( ) _____		Evening Phone No. ( ) _____	
Date of Birth _____ Mo. _____ Day _____ Yr. _____			
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<b>STEP 6: COMPLETED BY MEDICAL REVIEW OFFICER - PRIMARY SPECIMEN</b>			
In accordance with applicable Federal requirements, my determination/verification is: <input type="checkbox"/> NEGATIVE <input type="checkbox"/> POSITIVE <input type="checkbox"/> TEST CANCELLED <input type="checkbox"/> REFUSAL TO TEST BECAUSE: <input type="checkbox"/> DILUTE <input type="checkbox"/> ADULTERATED <input type="checkbox"/> SUBSTITUTED			
<b>REMARKS</b>			
<input checked="" type="checkbox"/> Signature of Medical Review Officer _____ (PRINT) Medical Review Officer's Name (First, MI, Last) _____		Date (Mo./Day/Yr.) _____	
<b>STEP 7: COMPLETED BY MEDICAL REVIEW OFFICER - SPLIT SPECIMEN</b>			
In accordance with applicable Federal requirements, my determination/verification for the split specimen (if tested) is: <input type="checkbox"/> RECONFIRMED <input type="checkbox"/> FAILED TO RECONFIRM - REASON _____			
<input checked="" type="checkbox"/> Signature of Medical Review Officer _____ (PRINT) Medical Review Officer's Name (First, MI, Last) _____		Date (Mo./Day/Yr.) _____	

COPY 3- COLLECTOR COPY

Drug Form Part 3  
 Face Ink: 900 BLK / 000 RED  
 Date: 05/09/00  
 Not To Use For Colormatch  
 Follow PMS Guide For Colors

FEDERAL DRUG TESTING CUSTODY AND CONTROL FORM															
															
SPECIMEN ID NO. <b>1234567</b>	LAB ACCESSION NO.														
<b>STEP 1: COMPLETED BY COLLECTOR OR EMPLOYER REPRESENTATIVE</b>															
<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;">A. Employer Name, Address, I.D. No.</td> <td style="width: 50%;">B. MRO Name, Address, Phone and Fax No.</td> </tr> <tr> <td colspan="2">C. Donor SSN or Employee I.D. No.</td> </tr> <tr> <td colspan="2"> D. Reason for Test:   <input type="checkbox"/> Pre-employment   <input type="checkbox"/> Random   <input type="checkbox"/> Reasonable Suspicion/Cause   <input type="checkbox"/> Post Accident  <input type="checkbox"/> Return to Duty   <input type="checkbox"/> Follow-up   <input type="checkbox"/> Other (specify) _____ </td> </tr> <tr> <td colspan="2">E. Drug Tests to be Performed:   <input type="checkbox"/> THC, COC, PCP, CBI, AMP   <input type="checkbox"/> THC &amp; COC Only   <input type="checkbox"/> Other (specify) _____ </td> </tr> <tr> <td colspan="2">F. Collection Site Address:</td> </tr> <tr> <td colspan="2">Collector Phone No. _____</td> </tr> <tr> <td colspan="2">Collector Fax No. _____</td> </tr> </table>		A. Employer Name, Address, I.D. No.	B. MRO Name, Address, Phone and Fax No.	C. Donor SSN or Employee I.D. No.		D. Reason for Test: <input type="checkbox"/> Pre-employment <input type="checkbox"/> Random <input type="checkbox"/> Reasonable Suspicion/Cause <input type="checkbox"/> Post Accident <input type="checkbox"/> Return to Duty <input type="checkbox"/> Follow-up <input type="checkbox"/> Other (specify) _____		E. Drug Tests to be Performed: <input type="checkbox"/> THC, COC, PCP, CBI, AMP <input type="checkbox"/> THC & COC Only <input type="checkbox"/> Other (specify) _____		F. Collection Site Address:		Collector Phone No. _____		Collector Fax No. _____	
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F. Collection Site Address:															
Collector Phone No. _____															
Collector Fax No. _____															
<b>STEP 2: COMPLETED BY COLLECTOR</b>															
<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;">Read specimen temperature within 4 minutes. Is temperature between 90° and 100° F?   <input type="checkbox"/> Yes   <input type="checkbox"/> No, Enter Remark _____ </td> <td style="width: 50%;">Specimen Collection:   <input type="checkbox"/> Split   <input type="checkbox"/> Single   <input type="checkbox"/> None Provided (Enter Remark) _____   <input type="checkbox"/> Observed (Enter Remark) _____ </td> </tr> </table>		Read specimen temperature within 4 minutes. Is temperature between 90° and 100° F? <input type="checkbox"/> Yes <input type="checkbox"/> No, Enter Remark _____	Specimen Collection: <input type="checkbox"/> Split <input type="checkbox"/> Single <input type="checkbox"/> None Provided (Enter Remark) _____ <input type="checkbox"/> Observed (Enter Remark) _____												
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REMARKS															
<b>STEP 3: Collector affixes bottle seal(s) to bottle(s). Collector dates seal(s). Donor initials seal(s). Donor completes STEP 5 on Copy 2 (MRO Copy)</b>															
<b>STEP 4: CHAIN OF CUSTODY - INITIATED BY COLLECTOR AND COMPLETED BY LABORATORY</b>															
<table border="1" style="width: 100%;"> <tr> <td colspan="2">I certify that the specimen given to me by the donor identified in the certification section on Copy 2 of this form was collected, labeled, sealed and released to the Delivery Service noted in accordance with applicable Federal requirements.</td> </tr> <tr> <td style="width: 50%;"> X _____  Signature of Collector      Time of Collection <span style="float: right;">AM PM</span>  (PRINT) Collector's Name (First, MI, Last)      Date (Mo./Day/Yr.) </td> <td style="width: 50%;"> <b>SPECIMEN BOTTLE(S) RELEASED TO:</b>  _____  Name of Delivery Service Transferring Specimen to Lab </td> </tr> </table>		I certify that the specimen given to me by the donor identified in the certification section on Copy 2 of this form was collected, labeled, sealed and released to the Delivery Service noted in accordance with applicable Federal requirements.		X _____ Signature of Collector      Time of Collection <span style="float: right;">AM PM</span> (PRINT) Collector's Name (First, MI, Last)      Date (Mo./Day/Yr.)	<b>SPECIMEN BOTTLE(S) RELEASED TO:</b> _____ Name of Delivery Service Transferring Specimen to Lab										
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Drug Form Part 4  
Face Ink: 900 BLK / 900 RED  
Date: 05/09/00  
Not To Use For Colormatch  
Follow PMS Guide For Colors

COPY 4- EMPLOYER COPY



## ADDITIONAL RESOURCES – DRUG AND ALCOHOL ABUSE PROGRAMS

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1. “Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit,” U.S. Department of Transportation, Federal Transit Administration, Revised November 2003. [http://transit-safety.volpe.dot.gov/publications/substance/ImplementationGuidelines/ImplementationGuidelines\\_rev\\_11\\_2003.pdf](http://transit-safety.volpe.dot.gov/publications/substance/ImplementationGuidelines/ImplementationGuidelines_rev_11_2003.pdf)



## REFERENCES - DRUG AND ALCOHOL ABUSE PROGRAMS

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1. Procedures for Conducting Workplace Drug and Alcohol Testing for Federally Regulated Transportation Industry Operations. 49-CFR-40.
2. FTA Drug and Alcohol Testing Requirements for Employers and Employees Working in the Mass Transit Industry. 49-CFR-655.

# **Missouri's Model Transit Bus Safety and Security Program**

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## **SAFETY DATA ACQUISITION and ANALYSIS**

### **SECTION SIX**

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**MISSOURI DEPARTMENT OF TRANSPORTATION  
(MoDOT)  
TRANSIT SECTION**

## SAFETY DATA ACQUISITION AND ANALYSIS – TABLE OF CONTENTS

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## Section Six – Collection, Analysis and Utilization of Safety Data

Regardless of size, transit agencies should be collecting and using safety data to manage risk. Management of risk should reduce injury to employees, damage to property, disruption of service, and ultimately loss of revenue. While safety is the responsibility of all transit agency employees, management of risk is the responsibility of the agency leadership. Management of risk requires a structured approach to help employees understand, identify and avoid potential risks. In other words risk management requires a plan. Understanding safety data will assist agency managers and staff in:

- ☐ Identifying safety trends and patterns in transit agency operations
- ☐ Guiding policy development
- ☐ Providing insights on current vulnerabilities
- ☐ Assisting in establishing priorities and allocations of resources
- ☐ Evaluating the success of safety programs and technologies
- ☐ Focusing personnel deployment.

The intent of this section on collection, analysis, and utilization of safety data is to assist the transit agency in the development and maintenance of a data driven safety plan. This task has two distinct sub-components: it is first necessary to identify the risk; then it is necessary to identify strategies for reducing the risk.

### A. Identifying the Risk:

To successfully reduce risk the director, transit supervisor and others in leadership, including the board of directors, must understand the nature of the risk(s) faced by the agency. They must then have the technical knowledge and expertise to identify and implement strategies for reducing the risk. Toward that end we recommend the following process.

#### A. Collection of Safety Data:

Every transit agency, regardless of size, must collect safety data. At a minimum this data should include:

1. Vehicle accident data
  - a. agency at fault (accident preventability determination)
  - b. other party at fault (accident preventability determination)
  - c. drugs/alcohol involved

2. Vehicle incident data
  - a. component failure
  - b. other (speeding, traffic violations, etc)
  - c. drugs/alcohol involved
3. Accidents at facilities
  - a. employees
  - b. passengers
  - c. drugs/alcohol involved
  - d. tools and equipment
4. Criminal Activity
  - a. Involving agency vehicles
  - b. At agency facilities and site
  - c. Near agency facilities and sites
  - d. Assaults on employees
  - e. Theft of agency property
  - f. Vandalism to agency property
  - g. Theft of passenger property on agency premises.
5. Passenger incidents and events
  - a. in agency vehicles
    1. while boarding
    2. while exiting
    3. while traveling on board
  - b. in agency facilities
    1. criminal incidents
    2. personal health incidents
    3. accidents
6. Vehicle safety inspection results.
7. Off duty employee incidents involving drugs or alcohol.
8. Associated cost to agency for accident/incident.

The transit agency will collect data on these elements as incidents occur. Included in the Appendices are sample incident reporting forms used by transit agencies in Texas. These are presented only to illustrate the type of data the transit agency will need to adequately evaluate each incident and collect the information noted above. The specific form or forms used for this purpose is not important, but must meet the agency's needs. Whether or not the incidents are grouped weekly, monthly, or quarterly will depend on the size of the agency.

A large agency with multimodal service will likely have a higher density of incident occurrence than will an on-call rural agency with one bus/van type vehicle. Regardless of these or others factors, the agency staff and leadership may identify the agency must structure its data collection around a time period. All but the largest agencies will probably use monthly or quarterly; the largest agencies will probably opt to use weekly. Incidents and accidents should be reported through the transit agency chain of command as they occur.

A formal process must be established for ensuring this data is actually collected and passed up the chain of command. This probably means a standardized reporting form (as noted in the Appendix) that can be easily completed and routed to the responsible agency official. In large agencies first line supervisors should be accountable for initiating these reports. In smaller agencies all employees should be required to initiate a report on any incident in which they are involved or have knowledge.

Data reports should be routed to the agency director or his/her designated representative. This person must be responsible for maintaining data files and report files. These may be kept either on paper or electronically and the director and the board of directors should establish policies for retaining files. The person responsible for maintaining files will, on a periodic basis, disseminate agency wide a summary of the safety data. This should include a report to the senior management of the transit agency and through the senior management to the board of directors.

The format in which data is disseminated will have an important impact on whether or not it is used. To circulate complete report forms will likely ensure that the data is not read. To format the data on a spread sheet showing the number of incidents occurring in the reporting period by category is probably the best approach. Normally this will allow displaying the data on one page with an accompanying narrative page and perhaps a summary spread sheet showing cumulative totals to date of the report. In the narrative it is important to point out any changes from previous reporting periods and cumulative trends.

Depending on the charge given to the person managing the data the narrative may also include recommendations for policy change/up-date based on any trends identified. Such recommendations, prepared by the director or a senior staff member, should accompany any submission to the board.

(See Appendix A and B for examples of reporting forms). (See Appendix C for examples of how to display safety data). (See Appendix D for an All Hazards Safety Checklist).

## **B. The Plan:**

While it is tempting to stop at this point the agency has only established a flow of safety data. To actually complete the data collection process the agency must also establish a structure for using that data to address safety issues and problems highlighted by the data. Listed below are a set of generic safety objectives that can serve as the outline of a plan:

- ☐ reduce costs associated with the occurrence of incidents and hazards (measured?)
- ☐ mitigate the effects of workplace hazards on personnel and property
- ☐ generate a standardized methodology for incident data collection
- ☐ develop a database for compiling a core set of incident characteristics
- ☐ report safety data that is practical and useful for the transit agency
- ☐ monitor and analyze accrued incident information
- ☐ compare safety statistics between similar transit agencies
- ☐ determine causal factors or trends for the purpose of reducing transit vehicle incidents
- ☐ identify and implement corrective actions
- ☐ collate incident data with prior safety data for the evaluation of corrective actions
- ☐ assess the effectiveness of specific training programs and safety related capital improvements.

Using these objectives as a guide the agency staff can build specific policies around each objective focusing on identification and management of risk. Strategies utilized may include employee training, providing necessary safety equipment, public awareness and education of passengers, and building relationships with other agencies.

A very significant strategy is leadership training for agency managers and supervisors to help them better understand their responsibilities. The data collected to support each objective provides a measure of how the agency is doing in implementing a safety program.

## APPENDIX – SAFETY DATA ACQUISITION AND ANALYSIS

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<a href="#"><u>Appendix A</u></a>	Employee's Account Form Example.....	6-8
<a href="#"><u>Appendix B</u></a>	Sample Vehicle Incident Reporting Form.....	6-9
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## APPENDIX A – EMPLOYEE ACCOUNT FORM EXAMPLE

Designed for Collecting and Employee's Account of an Incident/Accident

EMPLOYEE'S ACCOUNT
<p>Describe the Incident/Include details:</p> <p><i>Where did this occur:</i></p> <p>_____</p> <p><i>When did this occur:</i></p> <p>_____</p> <p><i>What were you doing just prior to the incident:</i></p> <p>_____</p> <p>_____</p> <p>_____</p> <p><i>How did this incident occur:</i></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p><i>How do you think this incident could have been prevented:</i></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>The above statement is true and correct to the best of my knowledge.</p> <p>Signature _____ Date ____/____/____ Time _____</p>

## APPENDIX B – SAMPLE VEHICLE INCIDENT REPORTING FORM



### TRANSIT VEHICLE INCIDENT REPORTING FORM

Form PTN-101  
(Rev. 7/2002)  
Page 2 of 3

TRANSIT AGENCY:	
Safety Contact Person:	
Area Code and Phone Number:	

#### REPORTABLE FOR THE FOLLOWING REASON(S)

Individual died	<input type="checkbox"/>	Transit vehicle is towed away and removed from revenue service	<input type="checkbox"/>
Injury requiring immediate medical treatment away from the scene	<input type="checkbox"/>	Non-arson fire	<input type="checkbox"/>
Total damage exceeded \$7,500	<input type="checkbox"/>		

DATE of INCIDENT:	INCIDENT TIME:	AM <input type="checkbox"/>	PM <input type="checkbox"/>
ESTIMATED TOTAL DAMAGE: \$	COUNTY:		
LOCATION:			
# OF FATALITIES:	# OF PERSONS TRANSPORTED FOR MEDICAL TREATMENT:		

#### AGENCY VEHICLE INFORMATION

LICENSE NO.:	MAKE:
YEAR:	MODEL:
ODOMETER READING:	FUNDING SOURCE:
ESTIMATED VEHICLE DAMAGE: \$	
DAMAGE DESCRIPTION:	
DID VEHICLE EQUIPMENT FAIL TO OPERATE PROPERLY? (IF YES, EXPLAIN ON THE FOLLOWING PAGE)	
YES <input type="checkbox"/>	NO <input type="checkbox"/>
WAS THE AGENCY VEHICLE TOTALED?	
YES <input type="checkbox"/>	NO <input type="checkbox"/>
WERE DRUG & ALCOHOL TESTS PERFORMED?	
YES <input type="checkbox"/>	NO <input type="checkbox"/>

**Adopted from Texas department of Transportation Form.** In addition to the information requested on the form, attach the law enforcement incident/accident report (if applicable). If no law enforcement report is available provide a narrative description of the event and if applicable a sketch of the incident/accident. This form and all its associated annexes becomes the official transit agency report of the incident/accident.

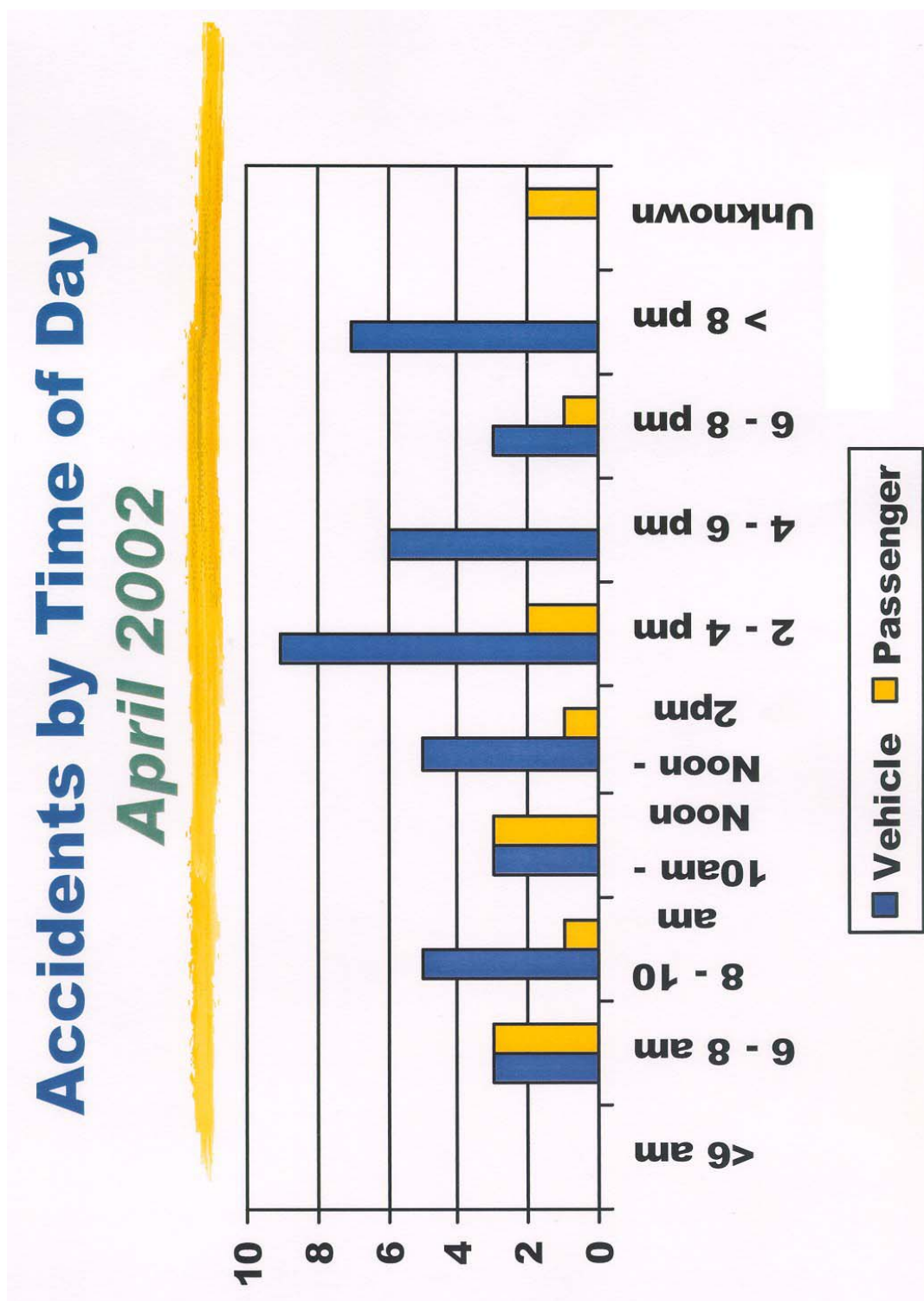


7/06 Model Transit Program for: \_\_\_\_\_  
Transit Agency Name



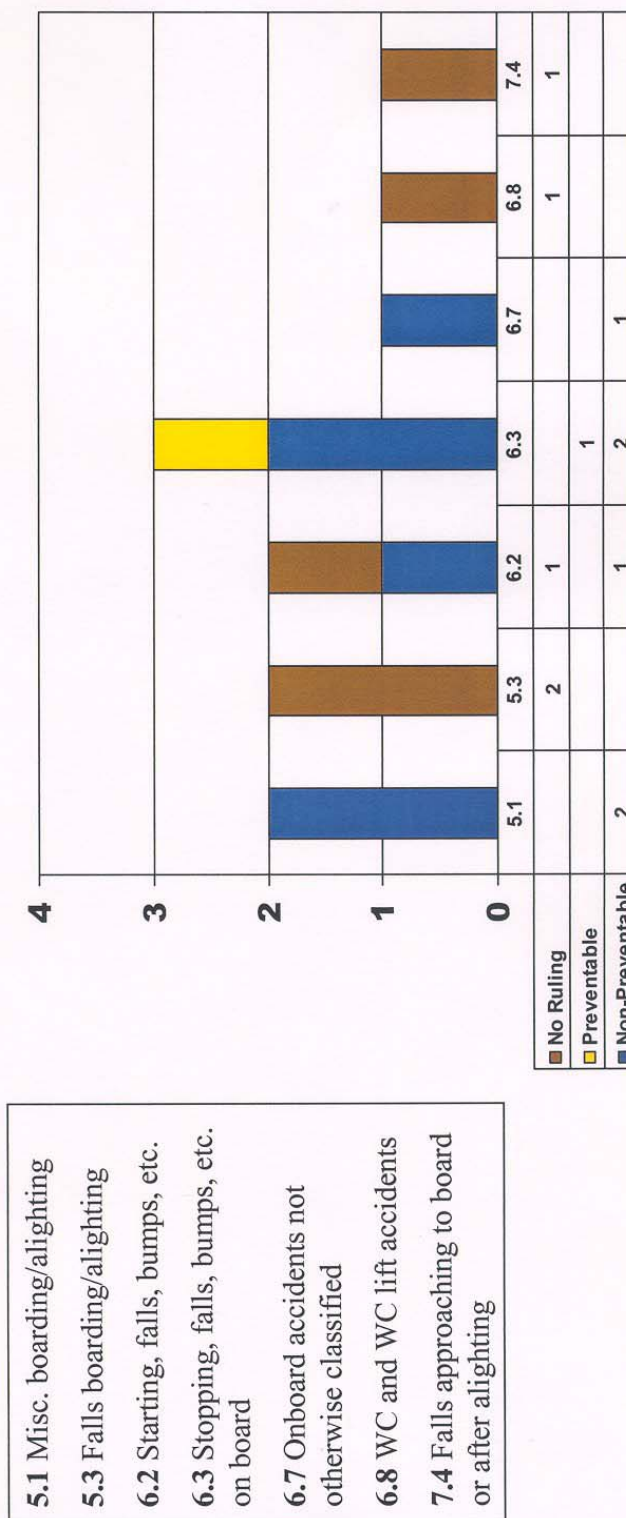
## APPENDIX D-1 – SAMPLE APPROACHES TO DISPLAYING DATA

**NOTE:** Both of the graphs included in this appendix can be generated with basic computer software available to most transit agencies regardless of size. Using this approach to format data the transit agency wishes to highlight will make the data more noticeable and increase the likelihood that it will actually be looked at by policy makers.



## APPENDIX D-2 – SAMPLE APPROACHES TO DISPLAYING DATA

### Passenger Accidents by Accident Code *April 2002*



## APPENDIX E – ALL HAZARDS SAFETY CHECKLIST

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### GENERIC HAZARD CHECKLIST

#### 1. BASIC DESIGN DEFICIENCIES

##### A. Examples:

1. Sharp corners
2. Instability
3. Excessive weight
4. Inadequate clearance
5. Lack of accessibility

##### B. Causes: Improper or Poor Design

##### C. Control Methods: Improve or Change Design

#### 2. INHERENT HAZARDS

##### A. Examples:

1. Mechanical (i.e. rotating equipment, vibration)
2. Electrical
3. Explosives
4. Flammable gases or liquids
5. Toxic substances
6. Acceleration (flying objects)
7. Deceleration (falling objects)
8. Temperature

##### B. Cause: Integral Characteristic That Cannot Be Designed Out

##### C. Control Methods:

1. Safety devices
  - (a) Isolation (separation)
  - (b) Barriers (guards)
  - (c) Interlocks (deactivation)
  - (d) Pressure release
  - (e) Temperature sensor (fuse)
2. Warning devices (five senses)
  - (a) Visual (sight) – color, shape, signs, light
  - (b) Auditory (hearing) – bell
  - (c) Tactile (touch) – shape, texture
  - (d) Olfactory (smell)
  - (e) Gustatory (taste)

3. Procedures and training
  - (a) Use of safe procedures
  - (b) Training
  - (c) Backout/recovery procedures
  - (d) Protective equipment
  - (e) Emergency procedures

### **3. MALFUNCTIONS**

- A. Examples:
  1. Structural failures
  2. Mechanical malfunctions
  3. Power failures
  4. Electrical malfunctions
- B. Causes:
  1. Faulty design
  2. Manufacturing defects
  3. Improper or insufficient maintenance
  4. Exceeding specified limits
  5. Environmental effects
- C. Control Methods: Design
  1. Fail safe design
  2. Higher safety margins (i.e., reduce stress, increase load strength, etc.)
  3. Redundant circuitry or equipment
  4. Timed replacement
- D. Other Control Methods: Safety Devices, Warning Devices, Procedures and Training (See Point 2C 1-3)

### **4. MAINTENANCE HAZARDS**

- A. Examples:
  1. Improper connections
  2. Component failures
  3. Equipment damage
  4. Operational delay
- B. Causes:
  1. Lack of maintenance
  2. Improper maintenance
  3. Hazardous maintenance conditions

- C. Control Methods:
1. Design
    - (a) Simplified design
    - (b) Fail-safe design
    - (c) Easy access to equipment
    - (d) Elimination of need for special tools or equipment
  2. Safety devices
    - (a) Guards for moving parts
    - (b) Interlocks
  3. Warning devices
    - (a) Labels/signs
    - (b) Bells
    - (c) Chimes
    - (d) Lights
  4. Procedures or training
    - (a) Documentation of proper procedures
    - (b) Improved training courses
    - (c) Housekeeping

## 5. ENVIRONMENTAL HAZARDS

- A. Examples:
1. Heat
  2. Cold
  3. Dryness
  4. Wetness
  5. Low friction (slipperiness)
  6. Glare
  7. Darkness
  8. Earthquake
  9. Gas or other toxic fumes
- B. Causes:
1. Inherent
  2. Foreseen or unforeseen natural phenomena/conditions that do or could occur
- C. Control Methods [see also 4(c)]
1. Design
    - (a) Increased resistance to temperature changes
    - (b) Increased resistance to dryness or wetness
    - (c) Fail-safe design

2. Safety Devices
  - (a) Sufficient heating or cooling capability
  - (b) Adequate insulation
  - (c) Restricted access
  - (d) Temperature sensor
3. Warning devices
  - (a) Visual
  - (b) Auditory
  - (c) Olfactory
4. Procedures and training
  - (a) Use of safe procedures
  - (b) Protective equipment
  - (c) Training

## 6. HUMAN FACTORS

- A. Examples: (include review of all other items listed in 1-5)
  1. Stress (sensory, mental, motor)
  2. Physical surroundings (environment)
    - (a) Noise
    - (b) Illumination
    - (c) Temperature
    - (d) Energy sources
    - (e) Air and humidity
    - (f) Vibration
  3. Errors
    - (a) Omission
    - (b) Commission
  4. Not recognizing hazards
  5. Incorrect decisions
  6. Tasks done at wrong time
  7. Tasks not performed or incorrectly performed
- B. Causes:
  1. Inadequate attention to human design criteria
  2. Poor location, layout of controls
  3. Equipment complexity
  4. Inherent hazards
  5. Incorrect installation
  6. Failure of warning devices
  7. Inadequacy of procedural safeguards
    - (a) Failure to follow instructions
    - (b) Lack of knowledge of procedures
  8. Inadequate training

9. Improper or insufficient maintenance

C. Control Methods:

1. Design (to address items 1-6)
2. Safety devices (redundancy)
  - (a) Isolation (separation)
  - (b) Barriers (guards)
  - (c) Interlocks (deactivation)
  - (d) Temperature sensor (fuse)
3. Warning devices – five senses (redundancy)
  - (a) Visual (sight) – color, shape, signs, light
  - (b) Auditory (hearing) – bell
  - (c) Tactile (touch) – shape, texture
  - (d) Gustatory (taste)
  - (e) Olfactory (smell)
4. Procedures and training
  - (a) Clear warning labels (nature of hazard, action to avoid injury, consequences)
  - (b) Use of complete, proper, safe procedures
  - (c) Adequate training (also refresher training)
  - (d) Backout/recovery procedures
  - (e) Protective equipment
  - (f) Emergency procedures
  - (g) Proper maintenance procedures

## ADDITIONAL RESOURCES – SAFETY DATA ACQUISITION AND ANALYSIS

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1. North Carolina Safety Data Collection Procedures.  
<http://www.cutr.usf.edu/bussafety/documents/ncsafety1.pdf>
2. Transit Industrial Safety Management, Safety and Health Program, Workplace Audit Checklist. <http://www.cutr.usf.edu/bussafety/documents/taw-check.pdf>
3. Texas Department of Transportation, Safety Data Acquisition and Analysis Guide, Public Transportation Division, September 2003.  
<http://www.cutr.usf.edu/bussafety/documents/safetyguide.pdf>
4. Center for Urban Transportation Research, Safety Data Acquisition and Analysis.  
<http://www.cutr.usf.edu/bussafety/core/data.htm>
5. Transportation Research Board, Transit Cooperative Research Program Reports,  
<http://www.trb.org/news/blurbs/browse.asp?id=1>



## REFERENCES – SAFETY DATA ACQUISITION AND ANALYSIS

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1. Dr. Michael Penrod, Director of Homeland Security, Missouri Safety Center, Central Missouri State University, Warrensburg, Missouri. 2006